



**UNIVERSITY OF MALAWI**

**UNIVERSITY OF MALAWI**  
**POLICY ON RESEARCH AND CONSULTANCY**

**FINAL – APPROVED BY SENATE**

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## TABLE OF CONTENTS

<b>Table of Contents</b>		ii
<b>Acronyms</b>		iii
<b>Foreword</b>		iv
<b>1.0</b>	<b>Preamble</b>	1
<b>2.0</b>	<b>Introduction</b>	1
2.1	Objects of the University	1
2.2	Functions of the University	2
2.3	Scope of Policy on Research and Consultancy	2
2.4	Role of Research	3
2.5	Definitions	3
2.6	Historical Aspects of Research at UNIMA	4
2.7	Decentralised Structure of the Research and Publications Committee	6
<b>3.0</b>	<b>Objectives of the Policy on Research and Consultancy</b>	6
3.1	Goal	6
3.2	Guiding Principles	6
3.3	Policy Objectives	8
<b>4.0</b>	<b>Policy Details</b>	10
4.1	Research Priorities	10
4.2	Organisational Structure of Research Planning and Administration	11
4.3	Funding of Research	12
4.4	Approval, control and monitoring	12
4.5	Administrative costs	14
4.6	Sharing of resources	15
4.7	Staff motivation, incentives and research culture	15
4.8	Dissemination of research	16
4.9	Research Ethics and Ethical Review Boards	16
4.10	Ownership of results/outputs, data and equipment	18
4.11	Monitoring of research effectiveness	18
<b>5.0</b>	<b>Implementation of Research Policy, Monitoring and Evaluation</b>	18
5.1	Overall Strategy	18
5.2	Research Priorities	19
5.3	Organisational Structure of Research Planning and Administration	19
5.4	Funding of Research	20
5.5	Procedures for approval, control and monitoring of research projects	20
5.6	Consultancy and Contract Research	20
5.7	Administrative costs of research	20
5.8	Sharing of research resources	20
5.9	Staff motivation, incentives and research culture	21
5.10	Dissemination of research	21
5.11	Professional ethics	21
5.12	Ownership of results/outputs, data and equipment	21
5.13	Monitoring of research effectiveness	22

Appendix 1	Main Functions of the University Research and Publications Committee	23
Appendix 2	Terms of Reference for the College Research and Publications Committee	26
Appendix 3	Guidelines for the Creation and Operation of Research Entities	27
Appendix 4	Functions of College Research and Publications Committees and Research Entities	33
Appendix 5	Annual Reporting Requirements for College Research and Publications Committees and Research Entities	34
Appendix 6	General Procedures and Guidelines for Approval, Control and Monitoring of Research Projects	35
Appendix 7	Guidelines (Format) for preparation of Research Proposals	39
Appendix 8	Research Proposal Form	41
Appendix 9	Research Contract (Grant Letter)	44
Appendix 10	Progress Report Form	46
Appendix 11	Format for Final Research Report	48
Appendix 12	Cover of the Final Report	50
Appendix 13	Guidelines for Peer Reviewing of Final Research Report	51
Appendix 14	Guidelines for Consultancy and Contract Research	53
Figure 1	Organisational structure of research administration	54

## ACRONYMS

APRU	Agricultural Policy Research Unit
CARD	Centre for Agricultural Research and Development
CERT	Centre for Educational Research and Training
CLS	Centre for Language Studies
COMREC	College of Medicine Research and Ethics Review Committee
cpi	Characters per inch
CSR	Centre for Social Research
NHSRC	National Health Sciences Review Committee
NRCM	National Research Council of Malawi
RCC	Research Centres Committee
RPC	Research Publications Committee
SADC	Southern African Development Community
UNICEF	United Nations Children's Emergency Fund
UNIMA	University of Malawi
URPC	University Research and Publications Committee
USAID	United States Agency for International Development

## **FOREWORD**

Research is important because it supports development of the country by providing solutions to problems, explaining phenomena, as well as opening up new opportunities. By being pro-active through development of research strategies that respond to national priorities, and by pursuing research that increases the stock of knowledge, the University places itself in the forefront of shaping the country's transformation in critical areas of development.

In the University community, research remains an essential part of academic life and advancement. Since its establishment in 1965, the University of Malawi has relied on scattered documents, available as various guidelines and forms developed by the University Research and Publications Committee, to guide the conduct of research. In 1990 a short three-page document was produced by the URPC but it was too brief to articulate policy issues. The need for a consolidated document on policy on research and consultancy has, therefore, remained a gap. The URPC undertook to develop a new policy document through its Secretariat manned by the University Research Coordinator. The document starts by giving the context, followed by the objectives, policy details, and strategy for implementation. The Appendices give detailed guidelines and templates.

This university policy on research and consultancy has benefited from a wide consultative process throughout the five constituent colleges. Documents routinely used by the College-based Research and Publications Committees were harmonised and incorporated. Consultations with the University of Dar-es-Salaam were critical in the formulation stages of this document, and we wish to acknowledge this important interaction. Various other documents from universities in the region and on the internet were consulted. The draft policy was circulated to all Faculties in all colleges for comments. This was followed by holding separate meetings with the Faculties where necessary. The consolidated draft was then presented to the URPC for further feedback, amendments and endorsement.

A policy document is a living document that should continually be updated. The URPC hopes that this document will play an important role in projecting an image of a vibrant university in research and consultancy.

**Chairman**  
**University Research and Publications Committee**

# **UNIVERSITY OF MALAWI POLICY ON RESEARCH AND CONSULTANCY**

## **1.0 PREAMBLE**

The University of Malawi operates on a federal system consisting of five constituent colleges that are administered by a central office under the leadership of the Vice Chancellor, assisted by the Pro-Vice Chancellor, University Registrar and University Finance Officer. Each college is headed by a Principal who is assisted by a Vice Principal and a Registrar. The University Research and Publications Committee (URPC), a Senate committee, is the central body for strategic planning of the research enterprise at the University of Malawi. It takes responsibility for developing and implementing the policy on research and consultancies at the university and, with its various college-based RPCs, is responsible for the support and monitoring of all University approved research and related activities.

From the early years of UNIMA's existence, the URPC had developed and was using various guidelines for research proposal approvals for funding, monitoring and administration. However, there was no overall policy until this was first formulated in 1990 covering such areas as research priorities, types of research projects encouraged, time allowance for research, training in research, research budgets, dissemination of research results, peer review of research documents, research clearance, and implementation. Although this old policy touches on most areas of concern, it has been considered too brief and in need of clearer articulation of the policy's intentions. For example, the policy simply states that "the implementation of the research policy shall be decided upon by the University" without providing guidance on the way forward. The old policy is also silent on "consultancies". In addition, significant changes in the institutional structure and academic development of the university have occurred, including the establishment of the College of Medicine, initiation of a variety of postgraduate programmes, establishment of more research centers or units, and addition of more faculties at Bunda College and The Polytechnic. Furthermore, the rapidly changing external environment, including the emergence of tertiary institutions with competing needs, demands that the university must make itself more marketable, forge more linkages and collaborations both nationally and internationally, and regulate the inevitable but welcome proliferation of consultancy activities. It has, therefore, become obvious that there is need to revisit the policy and bring it up to date.

## **2.0 INTRODUCTION**

### **2.1 *Objects of the University***

According to the University of Malawi (Amended) Act 1998, the objects of the University are "To advance knowledge and to promote wisdom and understanding by engaging in teaching and research and by making provision for the dissemination, promotion, and preservation of learning; by engaging in such

university education and research as is responsive to the needs of Malawi and the whole world; and by offering, within the limits of its resources, to persons suitably qualified academically and who, in the opinion of the Council, are able and willing to benefit from the facilities offered by the University, an education of high university standard". In addition to the above objects, as stated in the Act, the University's mandate includes implementation of research findings.

## **2.2 *Functions of the University***

The Act also states the functions of the University as:

- a) to encourage the advancement and dissemination of learning and research;
- b) to engage in such university education and research as is responsive to the needs of Malawi and the whole world;
- c) to provide facilities for higher education, for research and for the advancement of knowledge in such branches of learning and study and for such persons, whether members of the University or not, as the Council may from time to time determine; ....

Although well recognised, the following function appears not to be explicitly stated in the Act:

- d) to provide service to the economy and the society.

## **2.3 *Scope of Policy on Research and Consultancy***

Since research is one of the principal functions of the university, including the undertaking of consultancies in fulfilment of the university's public service function, it is necessary to express the research policy for the direction and guidance of affected persons. The UNIMA Policy on Research and Consultancy (hereafter referred to as the Research Policy) aims to ensure consistency across the University in establishing a common mechanism for planning, implementing and monitoring of the research process. The policy is to apply to Faculties, Departments, Centres, Units and Groups. It maps out the process of research needs identification and prioritisation, research project identification and initiation, proposal preparation and approval procedures, funding, project control and monitoring, research results dissemination, and evaluation of research effectiveness. This framework will ensure that all the affected individuals focus on the attainment of the required measures of performance: relevance, efficiency and excellence.

### **2.3.1 *Relevance***

This begins with a diagnosis of problems and needs, prioritising them and finding solutions. The prioritised approach is in line with national development objectives and priorities. Research should be directed at the solution of contemporary problems experienced by the community and providing plausible explanations of the phenomena affecting them, especially when scarce resources are competed for. On the other hand, it is recognised that the prioritised approach is inevitably restrictive and does

not permit full academic freedom characteristic of universities. Relevance must, therefore, accommodate the broader view.

### **2.3.2 Efficiency**

The scarce resources (time, human, material) always demand a high measure of accountability and efficiency in their utilisation to achieve cost-effectiveness of research. The research effort should be concentrated on those problems in respect of which the researchers have the particular expertise required for contributing to the solution thereof. The best utilisation of scarce resources occurs when community service, research and training are integrated as far as possible.

### **2.3.3 Excellence**

This marks the highest quality and effectiveness of research involving the achievement of the desired results in solving problems and explaining phenomena. Excellence establishes the required reputation both nationally and internationally.

## **2.4 Role of Research**

Research supports development of the country by providing solutions to problems, explaining phenomena, as well as opening up new opportunities. Through research, new technologies are developed that help to improve the quality of life of the human race. The University is in a unique position of having a concentration of highly trained individuals who can contribute to developing new knowledge for solving problems from different approaches by data gathering, analysis, synthesis, interpretation of results and informing policy. By being proactive through development of research strategies that respond to national priorities, particularly in science and technology, the University can place itself in the forefront of shaping the country's transformation in critical areas such as health and education.

## **2.5 Definitions**

**2.5.1 Research:** a systematic way of asking questions and obtaining knowledge or information on those questions, thus improving our fundamental understanding of whatever phenomena are involved, including the discovery or elucidation of general principles and laws (referred to as basic research) or enabling us find solutions to a practical problem (referred to as applied research).

**2.5.2 Consultancy:** provision of service whereby an individual, group of individuals, or organisation is hired or requested to give expert advice, opinion etc regarding a specific issue at hand. Thus consultancies are normally regarded as professional services where the practice involves application of existing knowledge. Consultancies become equivalent to applied research if they involve generation and analysis of data.

- 2.5.3 **Policy:** a statement of principles on the course or method of action that directs decision-making for the affected persons. Policy encompasses plans, charters, and codes. At the UNIMA the affected persons are the staff, the students and those who collaborate with the staff and the students or are affiliated to the University.
- 2.5.4 **The University:** “The University (UNIMA)” means the Council of the University of Malawi or any of its committees; or the Senate of the University or any of its committees; or a constituent college of the University or any of its Faculties or Departments, and includes any Unit or Section in a Department or any Centre of the University.
- 2.5.5 **Research Entity:** A term used to refer to a formally recognised cluster of researchers (Group, Unit, Centre) who: share common or complementary research interests; have, as a group, established a reputation for high quality research and research training; and may operate entirely within one Faculty or involve other Faculties and organisations.

## 2.6 ***Historical Aspects of Research at UNIMA***

### 2.6.1 **Establishment of Research and the Research and Publications Committee**

Following the founding of the University in October 1964 under the University of Malawi (Provisional Council) Act, teaching started on 29<sup>th</sup> September 1965 at Chancellor College at Chichiri in Blantyre. By 1967, the then Institute of Public Administration at Mpemba, the Soche Hill College of Education, and the Polytechnic, all these in Blantyre, and Bunda College of Agriculture in Lilongwe, were incorporated as constituent colleges of the University of Malawi. In 1973, all the colleges, except Bunda and the Polytechnic, moved to Zomba under one campus of Chancellor College. Kamuzu College of Nursing in Lilongwe and the College of Medicine in Blantyre were established and added as constituent colleges of the University in 1979 and 1991, respectively.

During the first twenty years or so, the University mainly concentrated on undergraduate training. The more specialised training at postgraduate level has developed rather slowly until recently in the 1990s when full-time masters programmes have been initiated. Nevertheless, throughout this period, the University Research and Publications Committee (URPC), the Senate committee responsible for the development of research policy and research direction in the University, was working under a centralised administrative system. This involved receiving and screening project proposals from the academic community in all sister colleges of the University, funding the successful proposals, monitoring and evaluating the research projects, and disseminating the results.

### **2.6.2 Postgraduate training at UNIMA**

Throughout the 1970s and much of the 1980s, the University was pre-occupied with training undergraduates. Postgraduate degrees were mainly done through research on an ad-hoc part-time non-residential arrangements. Formal establishment of full-time studies towards masters degrees was done beginning the late 1980s and consolidated in the 1990s. From 2000 strengthening of postgraduate studies has been effected through the appointment of Deans of Postgraduate Studies and Research at each of the constituent colleges. Like in most universities, postgraduate students form a nucleus of research programmes and the opening up of postgraduate programmes has initiated a new phase. The more postgraduates are trained, the more also is the research that is done. The challenge for UNIMA is, therefore, to maintain viable numbers of students, obtain scholarships, market the products and respond to the changing market demands by developing appropriate postgraduate programmes to meet the needs of both the public and private sectors.

### **2.6.3 Research Centres, Units and Groups**

Establishment of centres or units where research in particular disciplines can be conducted systematically became necessary initially in direct response to service provision to donors and Government, for example, establishment of:

- the Centre for Social Research (CSR) in response to UNICEF;
- Centre for Language Studies (CLS) in response to Government;
- Centre for Educational Research and Training (CERT) in response to Government; and
- Centre for Agricultural Research and Development (CARD), spearheaded by the establishment of the Agricultural Policy Research Unit (APRU) in response to USAID.

Subsequently, several research centres have been established following felt needs within the academic circles. All the centres and units are, however, Faculty-based and reflect the need for functional and coherent research entities and groups. The normal expectation is that individuals, research groups, units and centres will perform research and/or consultancy functions and should command support at the Faculty level and attract external resources. While training of postgraduate students in academic departments in various Faculties will continue to be the main channel, the research centres offer an additional home for postgraduate training and this should increasingly become an important role of the centres, albeit with the realisation that final academic responsibility resides with Faculties and Departments and the Academic Boards.

### **2.6.4 Establishment of Research Coordinator's Office**

The design, funding, quality and promotion of research are functions that need coordination and governance. In the mid-1980s discussions were initiated on the need for research coordination among colleges that characterise the federal system of the UNIMA structure. This led to appointment of a full-time University Research Coordinator in 1988 who was to service the University Research and Publications Committee and provide liaison with other institutions and Government in matters concerning research. This office has now changed to University Directorate of Research and Consultancy Services.

## **2.7 Decentralised Structure of the Research and Publications Committee**

In 1996 it was decided to form College-based Research and Publications Committees which assumed the main functions of research management, including the eliciting of proposals in the various disciplines, proposal screening, raising and disbursement of funds, and progress monitoring of funded projects. This development has offered an opportunity for colleges to identify their specific needs and seek ways of addressing them to improve research capacity. It also marked establishment of the decentralised structure of the University Research and Publications Committee, leaving only certain key functions of coordination to be performed by the University-wide RPC, with the office of the University Research Coordinator acting as the Committee's Secretariat (see Appendix 1). This decentralised structure is maintained. Thus, in this document, where the acronym "UNIMA" is used, as defined in section 2.3.4, the actions will mainly refer to the "college level".

## **3.0 OBJECTIVES OF THE POLICY ON RESEARCH AND CONSULTANCY**

### **3.1 Goal**

To be a stimulus and vehicle for the coordination, promotion, generation, creation of databases, strengthening and dissemination of knowledge, information and technology through research for economic growth and development and the promotion of socio-cultural values.

### **3.2 Guiding Principles**

#### **3.2.1 Guiding Principles for Research**

- a. Research undertaken by UNIMA should be relevant to the needs of the society, focusing on changing conditions and requirements.
- b. UNIMA should aim at achieving excellence in research and service rendered to society.
- c. UNIMA should demonstrate that it is accountable through the institution of quality assurance systems in its research programmes.

- d. UNIMA should provide a conducive environment for conducting both basic and applied research
- e. The University should be proactive in dealing with emerging issues in research and development.
- f. Multi-disciplinary research projects and services should be particularly promoted.
- g. UNIMA should seek, develop and advance partnerships nationally, regionally and internationally.
- h. The University should ensure that there is an effective system for documenting all the external contracts, projects and grants given to University staff, and for monitoring the completion of reports and agreed timelines and budgets for these research projects.
- i. The University should have guidelines on the respective responsibilities of the researcher and the University regarding external research.
- j. UNIMA should establish clear lines of relationship between organs of research planning and administration at all levels.
- k. UNIMA should ascertain that the clients for external contracts are satisfied with the administrative and professional performance of projects and should act in cooperation with the funding agency to put right any problems which arise in the operation of projects.
- l. Research should be conducted in conformity with the norms of ethical responsibility.
- m. The University should defend and maintain its academic freedom and institutional autonomy in matters concerning research and development.
- n. It is essential to make academic staff aware of policies by every available means at regular intervals.
- o. UNIMA should encourage research activities in post graduate programmes that are linked to the advancement of academic programmes and promotion of development.
- p. Staff should be supported to acquire the necessary skills to realise their full research potential.
- q. Staff should be motivated using various incentives, such as fund allocations in accordance with publication outputs or as recognition of contribution of the research to development dialogue and development process; awards to newly recruited lecturers who have demonstrated their aptitude for research, but who have not yet established themselves as researchers; *ad hoc* grants given to promising researchers, etc.
- r. UNIMA should support the establishment of Ethics Committees in all colleges.
- s. UNIMA should establish the percentage of time for teaching and research and their implication on faculty progression.
- t. The University should have widely publicised Intellectual Property policies which should be incorporated in conditions of service and student regulations and these should cover equitable sharing of proceeds that provide incentives to all parties.

### **3.2.2 Guiding Principles for Consultancies**

- a. The University should have guidelines on the respective responsibilities of the researcher and the University regarding external consultancies.
- b. UNIMA should demonstrate that it is accountable through the institution of quality assurance systems in its consultancy programmes.
- c. Multi-disciplinary consultancy projects and services should be particularly promoted.
- d. UNIMA should seek, develop and advance partnerships nationally, regionally and internationally.
- e. The University should ensure that there is an effective system for documenting all the external contracts, projects and grants given to University staff, and for monitoring the completion of reports and agreed timelines and budgets for these consultancy projects.
- f. UNIMA should ascertain that the clients for external contracts are satisfied with the administrative and professional performance of projects and should act in cooperation with the funding agency to put right any problems which arise in the operation of projects.
- g. Income generation programmes of departments through commissioned work and consultancies are expected to bring benefits to teaching and human resources development. The University should establish guidelines on distribution of income so generated to college, departments and research entities.
- h. Income generation activities through consultancies should not endanger the core teaching and research functions of the University.
- i. It is essential to make academic staff aware of policies by every available means at regular intervals.
- j. Consultancies should be conducted in conformity with the norms of ethical responsibility.

### **3.3 Policy Objectives**

#### **3.3.1 Policy Objectives on Research and Operational Guidelines**

The policy objectives are based on the guiding principles, covering the entire research process from needs assessment and prioritisation to dissemination and impact assessment. Guidelines for consultancies are given separately. The objectives of the Research Policy are to:

- a. ensure that research is meaningful and advances knowledge and understanding;
- b. ensure that national development priorities are addressed through the provision of a clear mechanism that will enable researchers to make informed choices of researchable ideas;
- c. encourage and promote formation of research groups and entities of a multidisciplinary nature;

- d. strengthen institutional mechanisms for research coordination and management at College and University levels;
- e. strengthen and provide support to the secretariat for planning and administration of research at the University level;
- f. provide information on possible funding from sources within and outside UNIMA;
- g. establish a mechanism that ensures that externally funded projects are monitored for satisfactory completion;
- h. provide for a mechanism that ensures that new and young teaching staff are brought into the main stream of research as soon as possible;
- i. encourage increased research output through increased participation of postgraduate students;
- j. provide tools to guide the entire research process involving proposal preparation and screening, project funding and implementation monitoring, results dissemination and impact evaluation;
- k. encourage research linkages with industry and collaboration nationally, regionally and internationally;
- l. provide guidelines on incentives for awarding staff engaged in research;
- m. prescribe ethics guidelines for University researchers;
- n. ensure that results of research are disseminated in appropriate media and fora;
- o. provide a mechanism for making follow-ups to gauge the impact of research;
- p. set guidelines on the allocation, sharing, and disposal of project research resources;
- q. set guidelines on Intellectual Property Rights arising from research projects, such as inventions; and
- r. encourage a culture of research among the Faculty members throughout the University.

### **3.3.2 Policy Objectives on Consultancy and Contract Research**

An important function of the University, apart from teaching and research, is that of provision of service to society. A wide range of knowledge and skills on which potential clients can draw exists in the University. Many specialised teaching and research facilities that are not generally available in the community also exist. Opportunities are many for the University to play a service function to advance economic, cultural, political, scientific and technological development. Through consultancy activities, this situation represents a potentially significant source of income to the University. However, procedures and guidelines for staff involved in consultancy work need to encourage transparency if the requisite consultancy earnings are to accrue to the University. It is necessary to create a balance between the interests of the individual staff and the desire for additional income by the University. The University has in the past participated in contract research in environment, engineering, agriculture, education, health, linguistics etc. and is keen to continue with these collaborative arrangements. In this respect the University will be pro-active in acquiring both consultancies and contract

research through its Directorates of Research and Consultancy at college and University levels.

An important aspect concerns the reputation of the University. Experience shows that in the past, there have been cases where poor quality consultancy work has brought disrepute to the University even though the consultancy was sourced privately by individuals, and usually in secrecy. This becomes a lost opportunity for the University in the consolidation of its reputation for excellence, and a lost opportunity for the individual staff member to grow in competence through shared responsibility with other experts. The following objectives on consultancy and contract research, based on the guiding principles, will, therefore, apply, these are to

- a. encourage Faculty members to engage in consultancy as an avenue of service to society;
- b. promote sourcing of consultancy for income generation;
- c. encourage formation of interdisciplinary consulting groups and consortia of experts to increase competitiveness and excellence in performing consultancy work and contract research;
- d. provide guidelines for fair distribution of income generated from consultancy work; and
- e. encourage the dissemination of consultancy results and data.

#### **4.0 POLICY DETAILS**

##### **4.1 *Research Priorities***

UNIMA shall:

- a. Collect from appropriate sources the national/regional development priorities and disseminate to Faculties, Research Centres and Research Units within the University;
- b. Provide guidance on research agenda that shall be defined and set in accordance with priorities. It is, however, to be borne in mind that such prioritisation applies only with regard to priorities set by funding agencies. Complete academic freedom shall be observed whenever research funding is financed from the university's internal resources;
- c. Undertake to review the research agenda regularly, normally every two years; and
- d. Ensure that opportunities are maximised for participation of the University in the implementation of the research agenda.

#### **4.2 Organisational Structure of Research and Consultancy Planning and Administration**

UNIMA shall:

- a. Strengthen and support an office for efficient and effective coordination of research and consultancy at the University level, to be known as the University Directorate of Research and Consultancy Services and to function as the Secretariat of the University Research and Publications Committee. In view of the decentralised structure of the research function, this office shall be lean. Appendix 1 gives the main functions of the University Research and Publications Committee;
- b. Strengthen and support the College Research and Publications Committee at each of the constituent colleges of the University, these being sub-committees of the University Research and Publications Committee. The Terms of Reference for the College Research and Publications Committee are detailed in Appendix 2;
- c. Facilitate the creation of Research Entities (Groups, Units and Centres) as need arises at each constituent college of the University, in accordance with the set guidelines in Appendix 3. The aim of these designated entities is to act as focal points of the University's research effort and promotion. Each designated entity will be a member of the College Research and Publications Committee and will be guided by the Committee;
- d. Facilitate the formulation and regular review of guidelines for the planning and administration of research at each constituent college of the University, and within each Research Entity, and ensure that such guidelines are in agreement with this overall Policy on Research and Consultancy for the University. The aim of the guidelines shall be to facilitate the research process and achieve openness rather than set up barriers to the research activity. In formulating their guidelines, each constituent college's Research and Publications Committee and each Research Entity shall adhere to the functions set out in Appendix 4. Each College Research and Publications Committee and each Research Entity will be required to produce an annual report as set in the guidelines (see Appendix 5); and
- e. Facilitate the linking of the University Directorate of Research and Consultancy Services with the College Directorate of Research and Consultancy Services, and the Research Entities. There shall be a University Research Centres Committee (RCC) to be chaired by the University Directorate of Research and Consultancy Services and to operate as set in the guidelines (see Appendix 3). Figure 1 shows the organisational structure of research administration.

### **4.3 Funding of Research**

UNIMA shall:

- a. Collect information and maintain an inventory of funding agencies, including contact details and specific requirements with regard to accessing their funds;
- b. Disseminate to researchers in the University information relating to funding opportunities and mode of accessing the funds from within and outside the University;
- c. Actively participate in dialogue with Government for increased allocation of financial resources for research in the national budget. Levels of Government expenditure on research have remained far below one percent of the Gross Domestic Product. This needs to be raised to at least one percent. In particular, the University should endeavour to contend that Government will provide separate funds under a dual support system for research and development work to universities and other science and technology institutions;
- d. Allocate at least 5% of its annual budget to research activities for both staff and students;
- e. Establish ways of developing linkages with industry to promote industry-University partnerships for direct financing of research and development; and
- f. Encourage collaboration with foreign researchers, including establishment of research chairs, to promote capacity building while providing financial resources.

### **4.4 Approval, Control and Monitoring**

#### **4.4.1 Procedures for Approval, Control and Monitoring of Research Projects**

UNIMA shall:

- a. Be committed to supporting good research programmes in all disciplines that are represented within its faculties, centres, units and groups;
- b. Disseminate national priorities to researchers in the University and take into account these priorities when approving research proposals, especially when these are donor-funded;
- c. Encourage researchers to team up and collaborate with colleagues within the University and with others in institutions outside the University, both national and international;
- d. Promote research projects that are of a multidisciplinary nature;
- e. Promote involvement of post-graduate students in projects as part of their training;
- f. Ensure that the quality of the research proposals is acceptable by seeking comments from subject matter specialists in their areas of specialisation for any assistance to improve the research proposals before submitting them regardless of the source of funding;

- g. Ensure that all the College Research and Publications Committees and Research Entities adopt a common framework for the research process, including:
  - i. General Procedures and guidelines for approval, control and monitoring of research projects (see Appendix 6);
  - ii. Guidelines (format) for preparation of research proposals (see Appendix 7). Where research proposals are prepared for submission to an external funding agency, the format may need to be changed to conform to that of the donor;
  - iii. Research Proposal Form (see Appendix 8)
  - iv. Format for research contract (Grant Letter) including budget (see Appendix 9);
  - v. Format for research progress report (see Appendix 10);
  - vi. Format for final research report (see Appendix 11);
  - vii. Cover for Final Research Report (see Appendix 12)
  - viii. Guidelines for peer reviewing of final research report (see Appendix 13); and
  - ix. Guidelines for consultancy and contract research (see Appendix 14).

#### **4.4.2 Procedures for Approval, Control and Monitoring of Consultancy and Contract Research Projects**

UNIMA shall:

- a. Establish a functional Consultancy Bureau at each College to manage consultancy services, to be part of the terms of reference for the College Directorate of Research and Consultancy Services, which shall:
  - i. Coordinate consultancy services and contract research;
  - ii. Formulate co-ordination guidelines among Faculties, Departments and Research Centres and define areas of competence in consultancy and contract research;
  - iii. Draw up and implement a strategy for the improvement of consultancy capacity of the University;
  - iv. Modalities and implementation strategies for the improvement of consultancy services in the University
  - v. Set quality assurance standards and advisory services to the College and Research Entities;
  - vi. Increase the capacity of the University to generate income;
- b. Assign the duties of coordination of consultancy services such that they are integrated with the duties concerning coordination of research both at the University level (to be performed by the University Directorate of Research and Consultancy Services) and the College level (to be performed by the College Directorate of Research and Consultancy Services). Directorates at both the University and College levels will be performed by a lean administrative structure;
- c. Form multi-disciplinary expert groups for consultancies and contract research in all areas of national priorities;

- d. Institute training programmes to improve consulting capabilities and skills of staff;
- e. Produce attractive promotional material for dissemination to potential clients, clearly offering the range of consultancy services and areas for contract research;
- f. Disseminate to potential clients the availability of this public service. At the same time, the University shall publicize the pitfalls of hiring consultants on a private basis, in particular regarding quality assurance. The University shall, therefore, make it clear to potential clients that the University will not be responsible for poor quality products if consultants have been privately hired;
- g. Spell out incentives to promote active involvement of qualified staff, including significant financial incentives to staff who bring business to the University; and
- h. Promote the new consultancy arrangements for greater awareness among staff of the University.

#### **4.5 Administrative Costs**

##### **4.5.1 Administrative Costs of Research**

UNIMA shall:

- a. Require that administrative costs in respect of processing and implementation of research projects are built into project proposals. At least 10% of the total research budget should be allocated for institutional overheads. It is to be noted that this figure may be greater or less than the 10%, taking into account the prevailing policy of the funding agency;
- b. Ensure that sharing of the contribution to administrative overheads is as follows: 5% will go to the immediate department or section hosting the project; 1% will go to the College RPC; 1% will go to College Administration; 1% will go to the University Directorate of Research and Consultancy Services; and 2% will go to the College Library. The College RPC will work out a mechanism with College Administration to have a transparent accounting system.

##### **4.5.2 Administrative Costs of Consultancies**

UNIMA shall:

- a. Require that administrative costs in respect of processing and implementation of consultancies and services are built into project proposals;
- b. Ensure that sharing of the proceeds from consultancy is as follows: 75% will go to the executing entity; 25% will go to the Administration as specified at Appendix 14 herein attached. The College RPC will work out a mechanism with College Administration and University Office to have a transparent accounting system.

## **4.6 *Sharing of Resources***

### **4.6.1 Sharing of research resources**

UNIMA shall:

- a. Promote, facilitate and coordinate the sharing of research project resources among researchers to promote efficiency. This may involve utilisation of research project facilities such as vehicles, computers, digital cameras, photocopiers, specialised equipment, etc for other research projects and tasks, especially where the resources are underutilised;
- b. Promote, facilitate and coordinate the sharing of information and information sources both in printed and electronic forms.

### **4.6.1 Sharing of Consultancy Resources**

UNIMA shall:

- a. Promote, facilitate and coordinate the sharing of consultancy project resources among researchers to promote efficiency. This may involve encouraging openness and transparency in the utilisation of institutional time and facilities for consultancies, and ensuring that utmost accountability of the proceeds accruing to the university are utilised in an equally open and transparent manner to inculcate financial accountability;
- b. Promote, facilitate and coordinate the sharing of information and information sources both in printed and electronic forms.

## **4.7 *Staff Motivation, Incentives and Research Culture***

**UNIMA shall:**

- a. Mobilise resources to modernise the college libraries;
- b. Support staff to enhance their skills in and have easy access to information technology;
- c. Require each staff member to present at least one research-based seminar per year;
- d. Give staff an allowance of one semester for research every three years. This would require coordinated scheduling of classes/courses and would involve making a provision for more members of staff so that classes do not suffer;
- e. Provide monetary incentive of 1% of the research budget where there is no donor specification for incentives;
- f. Develop a research assessment and merit scheme and ensure that staff who excel in research are well remunerated and supported;
- g. Introduce regular in-service research methodology courses for academic staff;
- h. Develop strong training programmes in research at postgraduate level and induct senior undergraduate students in research skills; and

- i. Introduce improved administrative infrastructure to ensure that staff publish to improve their publication records for the purposes of promotion.

#### **4.8 Dissemination of research**

UNIMA shall:

- a. Fund academic journals and conference proceedings in which research results are published;
- b. Encourage and reward the publication of research results locally, while ensuring that the quality of the local journals is of international standard;
- c. Ensure that Faculties in applied study areas (Agriculture, Engineering, etc) organise annual field days;
- d. Ensure that each College organises an annual research dissemination workshop where research results are discussed. Each College shall budget for the annual workshop/conference;
- e. Encourage researchers to incorporate in their project proposals the dissemination of results to end-users;
- f. Ensure that all research reports are peer reviewed using set guidelines (see Appendix 13) before dissemination;
- g. Digitise the research results and create digital repositories in all college libraries including at departmental level.
- h. Establish a University Press which will be utilised for easy publication of journals, conference proceedings, research monographs, etc; and
- i. Compile annual inventories of research abstracts, research reports and activities of staff members for dissemination to policy makers.

#### **4.9 Research Ethics and Ethical Review Boards**

The University of Malawi is committed to conducting institutional and individual research that observes the scientific as well as ethical principles, processes and procedures, thus recognising the goal of attaining scientific merit and that research findings or insights can only be credible within the context of good science and research ethics. Ethical reviews are of particular importance in research involving human subjects as protocols that pass through an Ethical Review Process recognize the centre piece of protecting individuals and allowing them to participate, having fully comprehended the intensions, processes, expectations, risks and their freedom of choice.

There is a global requirement for protecting human beings participating in health related research. Currently, it is mandatory that research conducted by the College of Medicine and College of Nursing is guided by research protocols that cover both scientific and ethical reviews, but the global expectation is that all research involving human subjects should seek ethical approvals. In view of this requirement, this policy adopts global standards requiring that all health related research using humans should be reviewed through Research and Ethics Review Committees. This suggests that every college in UNIMA that participates in or conducts research involving human subjects in

collaboration or in partnership with other institutions locally, regionally and internationally should have all protocols reviewed by Institutional Ethics Review Boards.

Research Ethics protects research participants from potential harm or injury by minimizing the social, physical, emotional and other risks associated with the research. Research Ethics also protects the researcher and ensures that the science developed out of the research has been developed ethically and, therefore, places value on credibility and utility of research results.

The National Research Council of Malawi (NRCM) has delegated the ethical review process powers for health related research using human subjects to the National Health Sciences Review Committee (NHSRC), to review all health related research in Malawi that has greater national implications. The NRCM has also delegated these powers to the College of Medicine Research and Ethics Review Committee (COMREC) for all health related research conducted by Colleges of Medicine and Nursing as entities or in partnership with other institutions or organizations. It is evident that some of the research done in the other three UNIMA colleges (Chancellor College, Bunda College of Agriculture and the Polytechnic) is also health related and involves use of human subjects, and, therefore, requires these colleges to also protect the human subjects from potential harm.

In accordance with the International Guidelines for conducting health related research involving human subjects, it becomes necessary that research in all colleges of the UNIMA abide by these standards. The following guidelines should, therefore, be considered to protect human subjects participating in research studies conducted by UNIMA students, faculty, Research Centres, Research Fellows and their collaborators.

UNIMA shall:

- a. Ensure that ethics committees are formed and used to monitor the ethics of research protocols in all fields (refer to Appendix 1). The following guiding principles will be used to guide the formation of Ethical Review Boards at College level:
- b. Begin dialogue with the NRCM to discuss the possibility of other Colleges in UNIMA to use the existing Ethics Review Boards for all their health related protocols using human subjects;
- c. Strengthen existing College RPCs by including members with research ethics background to ensure that all health related protocols using human subjects could be reviewed accordingly;
- d. In the event that the NRCM accommodates UNIMA's request, commence training in research ethics in all colleges among selected faculty members that may serve on these committees;
- e. In the Event that the NRCM accepts development of other Institutional Review Boards, begin the process of studying the composition, operations,

monitoring, and responsibilities with immediate effect and support the process by locally existing resources;

- f. Support, through the University Council of Malawi, the establishment of Institutional Ethical Review Boards in other UNIMA colleges.

#### **4.10 Ownership of Results/Outputs, Data and Equipment**

UNIMA shall:

- a. Stipulate to all researchers that copyright ownership of all research results/outputs from research funded by the University rests with the University;
- b. Develop criteria for sharing of copyright ownership for research output if research is financed either partially or wholly from external sources;
- c. Allow copies of all raw data to be submitted to national collaborating researchers, while observing restrictions on distribution to foreign collaborators;
- d. Ensure that at the close of any University or donor funded research project, equipment must be handed over to the researcher's department as the property of the University (to be marked as such) and that preferential use of the equipment such as computers/vehicles should be given to the researcher as long as s/he is still a member of the university/department;
- e. Ensure that where research is donor funded, the researcher should, at the close of the research project, make available for shared use in the Department and/or Research Entity any equipment purchased whether or not the donor agency stipulates this or not, and that capital equipment such as the vehicles should be handed over to the Department and/or Research Entity.

#### **4.11 Monitoring of research effectiveness**

UNIMA shall:

- a. Ensure that an appropriate mechanism for obtaining feedback from society is set up to assess the effectiveness of the research in solving problems and refine the research agenda thereof.

### **5. IMPLEMENTATION OF RESEARCH POLICY, MONITORING AND EVALUATION**

#### **5.1 Overall Strategy**

The decentralisation of research administration to College Research and Publications Committees mid-1990s was meant to introduce improvements in research management. While this has partially been achieved, the level of

activity and functioning of the College RPCs has generally varied among the constituent colleges of the University and the need to strengthen the research administrative infrastructure has become apparent. This strategy is aimed at setting up an improved mechanism to ensure that the research agendas are defined, funding is raised, and research projects are implemented professionally. The main approach will centre on establishing an office dealing with College Research Coordination by establishing the College Directorate of Research and Consultancy Services (see Figure 1). This will have a Director appointed on contract. The Director of Research and Consultancy Services will be responsible for running the Secretariat of the College RPC under the chairmanship of the Dean of Postgraduate Studies and Research. Each College RPC and Research Entity will develop an internal research policy which should be compatible with this policy. Secondly, the office of the University Research Coordinator will be re-designated as the University Directorate of Research and Consultancy Services, to be the secretariat of the University Research and Publications Committee, charged with setting up of effective linkages with College RPCs and Research Entities. This will have a University Director of Research and Consultancy Services. The implementation plan outlined here specifies further actions by the Directorates at university and college levels, Faculties and Departments, as well as the Research Entities (Centres, Units and Groups).

## **5.2 Research Priorities**

- a. The College Directorate shall collect information on national priorities and disseminate them to the University researchers. These will be used by faculty for awareness raising, but will not form the basis for awarding grants from internal resources;
- b. The College Directorate shall facilitate the definition of the research agenda for the University in consultation with the Faculties and Research Entities, without restriction to national priorities; and
- c. The College Directorate shall facilitate the review of the research agenda every two years.

## **5.3 Organisational Structure of Research Planning and Administration**

- a. UNIMA shall establish the University Directorate of Research and Consultancy Services (previously the University Research Coordination Office), keeping a lean administrative structure, to service the University Research and Publications Committee;
- b. UNIMA shall strengthen each College RPC by establishing the College Directorate of Research and Consultancy Services, keeping a lean administrative structure, to service the College Research and Publications Committee; and
- c. The Directorates at University and College levels shall coordinate the formulation of policy on research and consultancy at University, College and Research Entity levels and ensure that procedures and guidelines are

consistent with the national research guidelines, where applicable, e.g. the National Research Council of Malawi Research Guidelines.

#### **5.4 Funding of Research**

- a. The Directorates shall make regular contacts with donors and industry to raise funds for research;
- b. The Directorates shall maintain a data bank of funding sources and disseminate information to faculty; and
- c. The Directorates shall lobby Government for increased funding for research, particularly with respect to separate allocation of research funding to Universities.

#### **5.5 Procedures for approval, control and monitoring of research projects**

- a. The Directorates shall ensure that a common framework providing procedures and guidelines for the research process (Appendices 6-14) is adopted by the University.

#### **5.6 Consultancy and Contract Research**

- a. UNIMA shall establish a University Directorate of Research and Consultancy Services for the purposes of coordinating consultancy activities and contract research at university level;
- b. UNIMA shall establish a College Directorate of Research and Consultancy Services at each college, for the purposes of coordinating consultancy activities and contract research at the college in consultation with the University Directorate. UNIMA shall establish a Consultancy Bureau under the College Directorate to perform the consultancy coordination function at the college.

#### **5.7 Administrative costs of research**

- a. UNIMA shall require that each proposal developed for submission to a donor should have a built-in amount of 10% of the total budget to cover institutional overhead costs. It is to be noted that this figure may be greater or less than the 10%, taking into account the prevailing policy of the funding agency.

#### **5.8 Sharing of research resources**

- a. The College Directorate shall encourage sharing of research resources where it is deemed necessary and work out the modalities of doing so.

### **5.9 Staff motivation, incentives and research culture**

- a. Every year, UNIMA, through College Directorates, shall identify eligible researchers who have excelled in research, publicise their performance, and reward them.
- b. The College Directorates shall coordinate programmes in research skills acquisition for both staff and research students.

### **5.10 Dissemination of research**

- a. The College Directorates shall encourage relevant Faculties, Departments, Centres and Units to organize field days;
- b. The University Directorate shall encourage and lend assistance to each College RPC to ensure that their respective annual research dissemination workshops are organized and the proceedings are published;
- c. The College Directorates shall compile abstracts of research projects annually and publish in an Annual Report as well as in an accessible electronic database. These shall be submitted to the University Directorate;
- d. The University Directorate shall publish a quarterly Research Newsletter meant for regular dissemination of research activities taking place in the university for wide circulation within the university and to society;
- e. The University Directorate shall organize an annual university-wide research dissemination conference;
- f. The University Directorate shall coordinate, in collaboration with Editorial Boards, the timely publication of the research journals and conference proceedings.

### **5.11 Professional ethics**

- a. UNIMA shall form Ethics Committees in the respective disciplines to screen proposals for ethics. The definition of the Terms of Reference and establishment of these committees will be the responsibility of the College Directorates. However, central to ethics will be the principle that the subjects of the research should have feedback or some advantage arising from the research.

### **5.12 Ownership of results/outputs, data and equipment**

- a. The University and College Directorates shall publicise through the publication of the research policy the stipulation that copyright ownership of research results resides with the university. Where projects are donor funded, the Directorates will make a separate agreement on copyright ownership.
- b. Modern “creative commons” fair use licensing should be considered.

### **5.13 *Monitoring of research effectiveness***

- a. The University and College Directorates shall set up and implement a mechanism aimed at gathering feedback from the society on the effectiveness of research carried out by the university.

## ***Appendix 1. Main Functions of the University Research and Publications Committee***

### **1. Terms of Reference**

The University Research and Publications Committee (URPC) is the central body for strategic planning of the research enterprise at the University of Malawi. It takes responsibility for developing and implementing the research policy of the university and, with its various college-based subcommittees (College Research and Publications Committees), is responsible for the support and monitoring of all University approved research and related activities. Development of research policies at College level, along with the strengthening of the College RPCs, through establishment of Directories of Research and Consultancy Services, are efforts aimed at furthering the decentralisation process of the research function.

### **2. Membership**

The URPC has the following membership: the Pro Vice-Chancellor who will serve as the Chairperson of the URPC; the University Director of Research (ex-officio) who will serve as Secretary; Representative of the University Finance Officer; the Chairperson of each of the five College Research and Publications Committees; the Dean of Postgraduate studies and Research from each College; the Chairperson of the Research Centres Committee; a Representative from the University Libraries; One representative from the National Research Council of Malawi; One representative from Industry. The URPC will have powers to co-opt anyone whose services are needed to fulfil certain functions.

### **3. Administration of research**

#### ***3.1 University Directorate of Research and Consultancy Services***

The URPC will be run by a Secretariat to be known as the University Directorate of Research and Consultancy Services headed by the University Director of Research. The Directorate will act on behalf of the URPC on all matters that crop up in-between scheduled URPC meetings. It will be responsible for research and consultancy policy development and implementation. The Directorate will also chair a committee of research entities to be known as the university Research Centres Committee.

#### ***3.2 Sub-committees of the University Research and Publications Committee***

The College Research and Publications Committees, whose functions are spelt out in Appendix 2, will act as subcommittees of the URPC.

##### **3.2.1 Ethics**

The College RPCs will develop appropriate Ethics Guidelines in their areas of expertise. Ethics is about right principles or principles of right actions. Many

research projects in Malawi involve human subjects in various classes such as the young, old, poor, rural, urban, patients, women, youth etc. In those areas of research where the individual is the object of study, the potential problem of invasive techniques, invasion of privacy, and so on, is clear. This applies to research in both the medical and humanities disciplines. Ethics pursues those actions which are morally, religiously, conscientiously and legally defensible. The conduct of research hinges on the respect for human rights which entails acknowledging one's obligation towards the welfare of others. Therefore:

- a. The College RPC concerned with Research on Human Subjects [Health (Humanities)] will outline procedures to ensure that all research in which human subjects are involved, carried out in the University by undergraduates, postgraduates, staff or affiliated staff, in the name of the University, using University resources is safe, ethical, soundly based, respects the right of individuals and includes informed consent. The research protocols that require screening include all therapeutic and diagnostic research on patients as well as research on healthy subjects, be this through physical research, questionnaires or examination of records.
- b. The role of the College RPC concerned with Research on Human Subjects (Humanities) is to monitor the ethics of research protocols in Humanities and Social Sciences. The committee is responsible for looking at critical factors such as the extent to which research could be socially or psychologically invasive or damaging.
- c. The use of animals in research will also be regulated by guiding principles concerning research involving animals.

### **3.2.2 Intellectual Property and Protection of Genetic Resources**

The College RPCs will develop appropriate guidelines on handling of intellectual property rights and protection of genetic resources in accordance with rules and regulations established by the National Research Council of Malawi.

## **4. Functions of University RPC**

- a. To formulate, update and disseminate the University research policy and ensure harmonisation with research policies at each of the constituent colleges;
- b. To convene meetings of the University Research and Publications Committee quarterly;
- c. To collect information on funding opportunities for research and disseminate the same;
- d. To raise funds for annual research dissemination conferences for the University and for publication of journals and conference proceedings;
- e. To mobilise internal and external funding for research with the aim of achieving annual budgetary allocations of at least 3%;
- f. To develop strong training programmes in research in Faculties at the postgraduate level through the development of courses in research methods in cooperation with the University Postgraduate Committee;

- g. To ensure that research agendas and research priorities are established by each Faculty;
- h. To establish a merit scheme for rewarding excellence in research;
- i. To establish a research assessment scheme in the University;
- j. To compile an annual research report for the University by 30<sup>th</sup> April of each year and ensure dissemination of research results through seminars, conferences and publications;
- k. To establish linkages with industry, commerce, Government and other agencies in applied research;
- l. To foster regional cooperation in research under the auspices of SADC, through the provision of the SADC Protocol on Education and Training; and
- m. To set rates for research remuneration.

## ***Appendix 2. Terms of Reference for the College Research and Publications Committee***

- To promote research activities among staff of the college;
- To promote publications at the college;
- To receive and process applications for research grants;
- To ensure that ethical standards are upheld in the conduct of research;
- To manage the college research fund;
- To identify and source funding for research projects;
- To monitor progress of funded research projects;
- To facilitate the dissemination of research results through workshops and conferences;
- To compile and submit annual research reports and any other reports required by the University Directorate of Research and Consultancy Services;
- To train and promote upcoming researchers; and
- To support the attendance by members of staff of research or related conferences abroad.

### ***Appendix 3. Guidelines for the Creation and Operation of Research Entities***

#### **1. Definitions**

In these guidelines 'Research Entity' is a term used to refer to a formally recognised cluster of researchers (Group, Unit, Centre) who:

- a. share common or complementary research interests;
- b. have, as a group, established a reputation for high quality research and research training; and
- c. may operate entirely within one Faculty or involve other Faculties and organisations.

#### **2. General**

Research entities are expected to fulfil a range of functions aimed at strengthening, extending and promoting their research and research training activities and linkages, nationally and internationally (see Appendix 4). The following general principles should apply to the establishment of research entities:

- a. Research entities should be concerned primarily with basic and applied research, and where appropriate, of an interdisciplinary nature;
- b. Where appropriate research entities should contribute to the dissemination and application of their research outcomes. This may be accomplished through incorporating the research outcomes into the University's teaching programme, or through refereed publications, research reports, workshops, and community focused seminars. In addition, research entities may focus on research-related entrepreneurial activities involving skills, expertise and personnel, to provide additional external research income for the research entity;
- c. At the postgraduate level, research training may be undertaken within research entities as part of their general research function, but without breaching the principle that final academic responsibility resides with departments and faculties and the Academic Board;
- d. Research entities may play an active role in the promotion, organisation and support of postgraduate teaching activities and collaborative research projects; and
- e. Research Entities should have a slim and strong administrative structure. Professional staff at the entities should have joint appointments with their Faculties rather than having them as separate staff.

#### **3. Research Entities Lifecycles and Financing**

Once established it is expected that research entities will normally be subject to the following conditions:

- a. Existence should be linked to specific functions and goals identified at their establishment;
- b. The normal expectation is that research entities are established to perform research and/or consultancy functions and should command support at the Faculty level and attract external resources;
- c. There may be situations where the establishment of a research entity is coincidental with the receipt of a grant of Central University funds;
- d. At regular review periods (every five years), research entities should be required to justify their continuation both by demonstrating the continuing relevance of their original functions and goals, and through evidence of functional efficiency and effectiveness;
- e. Research entities that generate income from consultancies and research shall be required to support the University. An amount of 10% of surplus/overheads will be remitted by the entity, to be distributed as follows: 9% to the College hosting the entity, and 1% to the University Central Administration;
- f. The continuation of research entities will be based on performance in relation to the entity's objectives.

#### **4. Creation of Research Groups**

A research entity may seek formal designation within its Faculty as a Research Group. A Research Group is a formally recognised group of researchers who share common or complementary research interests and operate primarily, but not always entirely, within a single Faculty. The following guidelines shall apply:

- a. Approval for the establishment of a Research Group may be granted by the responsible Dean of Postgraduate Studies and Research on the recommendation of the Head(s) of Department and the Faculty Board concerned. The Dean of Postgraduate Studies and Research will advise the College Research and Publications Committee who in turn will advise the University Research and Publications Committee of such approvals.
- b. The University Directorate of Research and Consultancy Services, being the Secretariat of the University Research and Publications Committee, will maintain the official list of Research Groups operating across the University.
- c. An application for designation as a Group may be made to the Dean of Postgraduate Studies and Research at a time and in a form specified by the relevant Faculty.
- d. A Group will be established by the Faculty for a designated period, normally an initial period of three years.
- e. Each Faculty will establish guidelines for the operation and review of its Research Groups which will specify any performance criteria and reporting requirements. Responsibility for monitoring compliance shall rest with the relevant Dean(s) of Postgraduate Studies and Research.
- f. Research Groups may apply to change their name by writing to the appropriate Dean of Postgraduate Studies and Research who will seek endorsement from the Head(s) of Department and Faculty Board. The

- University Directorate of Research and Consultancy Services should be advised of any such approvals.
- g. Research Groups are entitled to use the term 'Research' and 'Group' within their title. Continuation of permission to use these terms will be subject to their compliance with any reporting and review requirements established by the Dean of Postgraduate Studies and Research.
  - h. The research group's growth, focus, orientation, track record, interest and other factors will influence when (and whether) it later seeks recognition as a Research Unit or Centre. A Research Group aspiring to University designated Research Unit or Centre status may choose to adopt the operation, reporting and review requirements which attend such status.
  - i. A Research Group may apply for formal designation as a Research Unit or Centre in accordance with this policy.

## **5. Creation of Research Units and Centres**

The following guidelines shall apply:

- a. An application for formal recognition as a University designated Research Unit or Centre may be made via the appropriate Dean of Postgraduate Studies and Research and Faculty Board to the Pro Vice-Chancellor at any time. It is recognised that the complexity of the management structure, funding requirements and other details will vary between each application depending on the group's history, size, mission, research relationships and other factors.
- b. Following consultation with the University Research and Publications Committee, the Pro Vice-Chancellor will provide a recommendation to the Senate for consideration and the Vice-Chancellor for decision.
- c. The Pro Vice-Chancellor may refer a recommendation to others for comment, in particular to the Finance Committee.
- d. A University designated Research Unit or Centre will normally be established for an initial period of five years. The University Directorate of Research and Consultancy Services will maintain the official list of University designated Research Units or Centres for promotional and other purposes.
- e. A University designated Research Unit or Centre which is wholly or substantially within UNIMA should clearly promote its relationship to UNIMA and its standing as an approved Research Unit or Centre of the University in its title, sub-title or other form.
- f. A University designated Research Unit or Centre may apply to change its name by writing to the Pro Vice-Chancellor who will seek recommendations from the appropriate Dean of Postgraduate Studies and Research and Faculty Board.
- g. The University may wish to establish other kinds of Entities that do not have research as their primary orientation. It is envisaged that while the general principles and standards implicit within this policy would apply to such initiatives, the Vice-Chancellor may approve the establishment of Centres of various kinds.

## **5.1 Operation**

- a. Each University designated Research Unit or Centre should have an advisory board or committee, appointed by the College Principal to assist in the planning, budgeting and monitoring of the Unit's or Centre's activities. Such a board/committee should meet at least twice a year.
- b. The composition of each advisory board or committee will be individually determined, but should include:
  - i. the relevant Dean of Postgraduate Studies and Research (who shall be Chairperson of the Board or Committee) or nominee;
  - ii. at least one external member; and
  - iii. representatives of key disciplines, participants and research end-users.
  - iv. College Librarian or Representative.
- c. Each University designated Research Unit or Centre must have a Director/Head who will be responsible for managing its activities. The Director will be appointed by the relevant College Principal.
- d. The Director will undertake a range of responsibilities specific to the effective operation of the University designated Research Unit or Centre, as agreed by its board.
- e. The Research Centre or Unit will have a lean structure of full-time administrative and support personnel, while all the professional staff will be drawn from the relevant Faculties on a time-sharing basis.
- f. Members of a University designated Research Unit or Centre may be drawn from the staff and research students of Faculties, from elsewhere in the University and from outside the University and the Unit or Centre may establish categories of membership. A membership list should be included in the Unit's or Centre's annual report.
- g. The Unit or Centre, its employees and affiliated researchers must comply with relevant University policies. Applications to external bodies for research project support should be submitted through the University Directorate of Research and Consultancy Services.
- h. Each University designated Research Unit or Centre should have a properly formulated business or strategic plan and/or a set of operational guidelines to govern its activities. A copy of any such document should be lodged with the University Directorate of Research and Consultancy Services.
- i. Each University designated Research Unit or Centre should develop and maintain an appropriate summary of its research strengths and activities, in printed and electronic form, which may be used for central and individual promotional purposes. Updated material should be provided to the University Directorate of Research and Consultancy Services each year. Each University designated Research Unit or Centre is expected to identify those performance indicators by which it, and the University, can most appropriately evaluate its progress and achievements.
- j. Designation as a University designated Research Unit or Centre carries with it an important commitment by the relevant College to provide infrastructure funding support. All funds received by University designated Research Units and Centres shall be deemed University funds for audit and accounting

- purposes. All equipment purchased from such funds or any income accruing direct to a University designated Research Unit or Centre is the property of the University. In cases where a University designated Research Unit or Centre includes participants from more than one institution, prior agreements as to the financial management and operation of the Unit or Centre must be approved by the Pro Vice-Chancellor.
- k. The monitoring of a University designated Research Unit's or Centre's financial position and management will be the responsibility of the relevant Dean(s) of Postgraduate Studies and Research, who:
    - i. may request additional information from the Director/Board in relation to the Unit's or Centre's financial management; and
    - ii. will report to the Pro Vice-Chancellor, through the Principal, any concerns relating to the Centre's financial management and assets.

## **5.2 Reporting**

- a. The Director of each University designated Research Unit or Centre will provide the appropriate Faculty Board and Dean(s) of Postgraduate Studies and Research with an annual report for each calendar year by 30 April of the following year. The report is to include information on Research Unit's or Centre's activities, performance, financial management and other details as specified, from time to time, by the Pro-Vice Chancellor (See Appendix 5).
- b. University designated Research Unit or Centre reports will be forwarded to the relevant College Research and Publications Committee and the University Directorate of Research and Consultancy Services, being the Secretariat of the University Research and Publications Committee, for information.
- c. The University Research and Publications Committee will report annually to University Senate on the operation of all University designated Research Units and Centres.

## **5.3 Review**

- a. University designated Research Units and Centres will be subject to periodic review which will normally be every three years, although:
  - i. an initial review will be conducted after the first one and half years' operation of a new University designated Research Unit or Centre; and
  - ii. the Pro Vice-Chancellor in consultation with the relevant Dean(s) of Postgraduate Studies and Research may initiate a review at any time.
- b. The terms of reference and approach to a review will be determined by the Pro Vice-Chancellor in consultation with the Research and Publications Committee, University designated Research Unit's or Centre's Director and appropriate Dean of Postgraduate Studies and Research (who is Chairperson of the Advisory Board of the Unit or Centre). The review will have regard to the size, complexity and evidence of current performance of the Unit or Centre under review.
- c. A University designated Research Unit or Centre review may be conducted by a sub-committee of the Research and Publications Committee or a

- pecially constituted review committee appointed by the Research and Publications Committee. In either case, external peer review and national/international perspectives of the Research Unit's or Centre's activities will be sought.
- d. The contents of a draft review report and recommendations will be discussed with the Research and Publications Committee, the Director of the Research Unit or Centre and the appropriate Dean(s) of Postgraduate Studies and Research before a final report is prepared for Senate.
  - e. Where a University designated Research Unit or Centre is a branch of a larger consortium, the activities of the University's Research Unit or Centre will be subject to review in accordance with this policy.
  - f. Where a review recommends closure or cancellation of a University designated Research Unit or Centre and such a recommendation is supported by the Vice-Chancellor, then the Research Unit or Centre will normally be given six months notice of such action. During this time, the Pro Vice-Chancellor in consultation with the appropriate Dean(s) of Postgraduate Studies and Research will oversee any disposal/transfer of assets and responsibility.

## **6.0 Creation of the Research Centres Committee (RCC)**

There shall be a University Research Centres Committee (RCC) whose main function will be to promote interaction among all the University Research Entities. The RCC will determine its own terms of reference, but will, in any case:

- a. Be chaired by Directors of Centres on a rotational basis;
- b. Will have its Secretariat based in the University Directorate of Research and Consultancies.
- c. Draw its membership from Directors of the Entities and the University Libraries;
- d. Report to the Pro-Vice Chancellor; and
- e. Be represented at the University Research and Publications Committee.

#### ***Appendix 4. Functions of College Research and Publications Committees and Research Entities***

College RPCs and Research Entities (Groups, Units and Centers) are expected to fulfill a range of functions aimed at strengthening, extending and promoting their research and research training activities and linkages nationally, regionally and internationally.

They would be expected to:

- a. Support high quality research which contributes to regional and national objectives, including those of advancement of knowledge, economic and social development, and that which promotes national and international collaboration in achieving these objectives;
  - b. Focus the research activities of University staff and students and, in so doing, use available resources more efficiently;
  - c. Foster collaborative research efforts between individuals and research teams within and outside the College or Research Entity;
  - d. Encourage inter-disciplinary approaches to address a particular set of research problems;
  - e. Establish and maintain regional, national and international links with individuals and teams conducting research in similar or complementary fields;
  - f. Complement and enrich the higher degree/research training programmes of the University;
  - g. Where possible, strengthen the links between research activities and teaching within the various Faculties and Departments of the University;
  - h. Enhance the status of the University by raising the level and public profile of research activity;
  - i. Seek to attract funds from the public and private sectors to help support the University's research programme;
  - j. Provide opportunities for the professional development of staff, particularly new and early career researchers; and
  - k. Undertake research and consultancy activities on behalf of industry, Government, the community and the region.
-

### ***Appendix 5. Annual Reporting Requirements for College Research and Publications Committees and Research Entities***

The Director/Head of Research Entity will provide the appropriate Dean(s) of Postgraduate Studies and Research and College RPC with an annual report for each calendar year by 30 March of the following year. The College RPC will provide the University Directorate of Research and Consultancy Services with an annual report for each calendar year by 30 April of the following year. The reports will include:

- a. A review of activities, achievements and outcomes of the research undertaken at the college Faculties and Research Entities. The report should be set in the context of the overall research and dissemination strategy of the College RPC or Research Entity. It should cover the previous calendar year and include:
- b. Progress in the research programme, covering the research projects undertaken, the researchers involved in each project, research outcomes and their impact;
- c. Progress in relation to performance indicators adopted by the College RPC or Research Entity and achievement of any operational targets;
- d. An audited financial statement of income and expenditure of the entity, demonstrating accountability for funds provided and generated;
- e. A list of membership;
- f. A list of publications/other research output and relevant publications of its members;
- g. A report by the Chairperson of the College RPC or Advisory Board of Research Entity; and
- h. Other details as specified, from time to time, by the Pro Vice-Chancellor.

## ***Appendix 6. General Procedures and Guidelines for Approval, Control and Monitoring of Research Projects***

### **1. Initiation and approval of Research Project**

- a. Researchers should initiate projects based on research agendas and priorities already established by the Faculties or Research Entities, and in accordance with the format given in Appendix 7. The number and size of research projects submitted by any one individual for implementation concurrently will depend on the assessment of that individual's capacity, but will normally not exceed two. Such assessment will be made by the College RPC or Research Entity in consultation with the Department Head.
- b. Researchers will prepare proposals in response to a call for proposals. If a proposal is submitted without soliciting, it will still be considered as and when appropriate.
- c. All research proposals should have a principal investigator. All investigators involved in a research project will be required to submit the following personal details: full names, qualifications, academic titles, institutional/departmental affiliations and publications.
- d. Researchers are encouraged to team up with colleagues in joint research and as far as possible include postgraduate students in the group.
- e. When research is to be funded by UNIMA's internal resources:
  - i. No funding will be made for books or journal subscriptions;
  - ii. Normally, no funding will be made for international travel;
  - iii. Funding for equipment and their accessories, including computers, will not normally be approved, except for projects that require special rare equipment; and
  - iv. Individuals with on-going project(s) will not receive funding for new projects even if the individual is a member of a group of researchers.
- f. Completed research proposals should be submitted to the Secretary of College RPC or the Director/Head of the Research Entity together with the Research Proposal Form (see Appendix 8).
- g. If the College RPC or Research Entity applies, at any time, a policy where pre-proposals are initially invited before submission of full proposals, the following will be the procedure:
  - i. An initial call for pre-proposals will be made, based on the priority research themes;
  - ii. After their receipt, the pre-proposals will be prioritised and short-listed;
  - iii. The researchers on the short-list will be asked to submit detailed research project proposals based on their respective pre-proposals;
  - iv. The College RPC or review subcommittee of the Research Entity will meet every month to review and prioritise the detailed research proposals. The deadline for receiving proposals will be ten days before the meeting. Competent reviewers (to be identified according to their area of specialization in relation to the proposed projects) will critically appraise the (scientific) merit of each proposal, as well as its relevance and ethics (where applicable). The researchers may be asked to defend their

- proposals where the review committee seeks clarification on a project considered of high priority;
- v. The principal investigator will be formally informed in writing about the approved research and budgets, using the template in Appendix 9. The Principal Investigator whose proposal is not successful will also be informed in writing, clearly stating all the reasons for the rejection.
  - vi. A proposal may be resubmitted for review under the following conditions:
    1. A previous review rejected the proposal with comments or concerns;
    2. A previous approved proposal was not implemented (with valid reasons) until expiry of the approval;
    3. Major changes have been made to the proposal which was already approved. All revisions must be clearly indicated in special font;
    4. Up to three resubmissions will be permitted but this should be done within a total period of twelve months;
  - vii. Successful proponents will be required to indicate details of when they intend to start implementing the projects and their expenditure time-frames; and
  - viii. A briefing session for all recipients to clarify aspects related to monitoring and evaluation procedures, reporting requirements and funding arrangements will be arranged.
- h. Where there is no need for submission of pre-proposals, the above review process will still apply while omitting steps dealing with pre-proposals.
  - i. Foreign researchers seeking affiliation to the University will be required to submit research proposals jointly with local staff members. Foreign researchers will not be allowed to conduct research without a local counterpart or hosting department. Research proposals, along with curriculum vitae of the proponents, will be submitted to the University or College Directorate for approval.
  - j. Where it is mandatory to obtain research clearance from external review committees, if special ethical issues need to be addressed, the proposal, with supporting letter from University or College Directorate of Research and Consultancy Services will be forwarded to the appropriate committee, such as the Malawi National Health Sciences Research Committee or the Malawi Genetic Resources and Biotechnology Committee, or any other relevant review board.
  - k. Upon approval of the proposal, the University or College Directorate will issue an approval letter for the conduct of the research. A foreign researcher participating in the research will be required to pay an affiliation fee of US\$500 while a foreign student affiliate will pay US\$100. In either case, the amount will be shared among administrative units as follows:
    - i. 50% will go to the hosting Department or hosting Research Centre;
    - ii. 20% will go to the Faculty;
    - iii. 10% will go to College RPC
    - iv. 10% will go to the review board
    - v. 10% will go to the University Directorate of Research and Consultancy Services.
  - l. Where research proposals are prepared for funding from external sources, the following procedure will be followed:

- i. The college RPC or Research Entity will review the proposals and, following their approval, submit the proposals to the University Directorate of Research and Consultancy where they will be further vetted for final approval. The Directorate will focus mainly on logistical and budgetary aspects of the research proposals, but may appoint subcommittees to assess proposals and advise on possible amendments;
- ii. Finalised proposals will be forwarded to the respective donors.

## **2. Registration of Research Projects**

Each approved research proposal shall be registered with the University Directorate of Research and Consultancy Services regardless of whether funding has been secured at the Department, Faculty, College, Directorate or Research Entity level. A standard registration code will be adopted, such as: FoA/AS/04/01, where FoA is Faculty of Agriculture, AS is Department of Animal Science, 04 is year 2004, and 01 is Project No.1.

## **3. Accountability**

For accountability purposes, the following measures should be followed:

- a. Proposals should have clear outputs;
- b. Proposals should have a clear budget (see Appendix 8) based on the Research and Publications Committee's (RPC's) established rates. In preparing the budget of a research proposal for submission to a donor, 10% of the total project budget should be added as an administrative contribution (overheads), to be distributed as follows:
  - i. 5% will go to the individual's department(s) or Research Centre;
  - ii. 1% will go to the College Administration;
  - iii. 1% will go to the College RPC (to assist it in its various activities such as secretarial, holding of research dissemination meetings, sponsorship of research projects by students, etc);
  - iv. 1% will go to University Directorate of Research and Consultancy Services; and
  - v. 2% will go to the College Library for support including e-journals and bandwidth..

It should be noted, however, that the above stipulated administrative contribution (overheads) of 10% may actually vary between 5% and 20%, depending on the funding agency, and in some cases, overheads are not permissible. Proponents should check with the funding agency on how much is allowed for overheads. Appendix 8 requires the figure (overheads) to be reflected in the budget.
- c. It is incumbent on researchers to demonstrate that they have the capacity in terms of human capital, institutional capacity, equipment and time to conduct the research;
- d. Progress reports will be required and detailed in each contract (see Appendix 9 and Appendix 10). At the minimum the reports should include expenditure and

- supporting documentation. The reports should be made in specified periods as determined by the College RPC or Research Entity;
- e. Penalties shall be imposed on researchers who incur unnecessary expenditure and make unsatisfactory progress;
  - f. Funds for the next phase of the project will only be released when a review of the progress report (sometimes to be done by an independent reviewer) shows that progress is satisfactory;
  - g. With progress reports submitted, the principal investigator shall indicate the activities that will be undertaken in the following period;
  - h. The final report of the project should be made in a timely manner and in accordance with the format given in Appendix 11. The report will be peer reviewed within a month after submission using the guidelines in Appendix 13. If disagreements arise, a second reviewer will be appointed and the review process completed within two weeks. At least six copies of the final research report should be submitted for distribution to the University library, College Library, Head of Department, section library, National Archives and University Directorate of Research and Consultancy Services. Each final research report should have a standard code such as FoA/AE/2\*/2004 where FoA is Faculty of Agriculture, AE is Department of Agricultural Engineering, 2\* is a serial number of reports, and 2004 is year of production. The University Directorate of Research and Consultancy Services will maintain an inventory of all the reports in the University.

#### **4. Monitoring and Evaluation of Research Projects**

In order to ensure that research projects approved by the College RPC or any Research Entity are conducted in line with research guidelines, a mechanism to monitor and evaluate outgoing research will be set up as follows:

- a. Each College RPC or Research Entity will establish a Monitoring Subcommittee to monitor the conduct of every one of its approved projects;
  - b. The Monitoring Subcommittee may appoint an independent team if necessary;
  - c. Monitoring and Evaluation will focus on:
    - i. Research programmes;
    - ii. Capacity (manpower, facilities, time management, financial management);
    - iii. Meeting Targets (Action plans – Outputs);
    - iv. Treatment of Data;
    - v. Issues of ethics.
-

## ***Appendix 7. Guidelines (Format) for preparation of Research Proposals***

The Research Proposal Form (Appendix 8) should be submitted to your Faculty Representative together with your proposal following the format provided below:

### **1.0 PROJECT TITLE**

This should be specific and precise. It should not be more than 2 to 3 lines long, and should indicate what one intends to do/find out.

### **2.0 INVESTIGATORS**

Full names, qualifications, academic titles of all the investigators, including trainees (Assistant lecturers or postgraduate students) and their institutional/departmental affiliation(s).

### **3.0 INTRODUCTION**

Provide the background to the project.

### **4.0 PROBLEM STATEMENT**

State the importance and justification of the project.

### **5.0 GENERAL OBJECTIVE(S)**

Indicate precisely the main focus of the research project. Indicate what you want to achieve.

### **6.0 SPECIFIC OBJECTIVES**

Outline the specific objectives necessary to achieve the general objective(s), clearly spelling out specific research activities.

### **7.0 LITERATURE REVIEW**

Provide literature review, ensuring that the theoretical basis of the literature and existing empirical evidence are clearly presented.

### **8.0 METHODOLOGY**

8.1 Location where the work is to be done.

8.2 Sample and sample design/design of the experiment. State the tool(s) of analysis to be used. That is, what model do you intend to adopt to achieve the objectives stated above.

8.3 Outline the method to be used in data collection, as well as the data collection instrument (if applicable), reliability and validity of measures.

8.4 Also outline how data will be analysed and what equipment will be used in the process.

8.5 For monitoring and Evaluation, include the Logical Framework Matrix in the proposal.

**9.0 ANTICIPATED VALUE OR OUTPUT OF THE PROJECT**

Clearly identify the possible results of your research and their beneficiaries. Also explain how you intend to disseminate the results.

**10.0 PROJECT TIMETABLE**

Provide your work plan.

**11.0 ROLES AND WORKLOAD OF ALL PERSONNEL IN THE PROJECT**

11.1 List all personnel to be involved in the project (including yourself) and their roles in a table such as the one below:

Name of Person	Qualification	Address	Specific role in the Project

11.2 Outline the research activities of each member of the project, starting with yourself, followed by your collaborators and the research assistants, labourers and so forth. It is particularly important that the role of each member of the project is clearly described and rationally justified, given that RPC will either defer or simply reject an application without these details.

**12.0 PROJECT BUDGET**

12.1 Present the research budget.

12.2 Provide justification for each item on the budget.

**13.0 REFERENCES**

**Appendix 8. Research Proposal Form**

(To be completed in duplicate and submitted to Faculty Representative)

For Official Use Only

Application No.	Grant No.	Amount Granted

Please write in black ink

- 1. NAME OF PRINCIPAL RESEARCHER.....
- 2. DEPARTMENT.....
- 3. FACULTY.....
- 4. NAME(S) OF COLLABORATOR(S) AND THEIR FACULTY (FACULTIES)  
.....  
.....  
.....
- 5. PROJECT  
TITLE.....  
.....  
.....
- 6. PROPOSED DATE OF COMMENCEMENT .....
- 7. PROPOSED DATE OF COMPLETION .....
- 8. TOTAL AMOUNT SOUGHT .....
- 9. HAVE YOU SOUGHT FUNDS FOR THIS PROJECT FROM OTHER  
SOURCES? YES  NO   
IF YES, indicate the amount and source .....
- 10. IS THIS RESEARCH FOR A DEGREE?  
YES  NO   
IF YES, state below the degree  
.....

## 11. BUDGET SUMMARY FOR THIS RESEARCH PROPOSAL

(Details of the budget should appear in the research proposal to be submitted with this form)

Item	Cost
a) Capital equipment	
b) Consumable materials	
c) Travelling costs	
d) Personnel costs	
e) Subsistence	
f) Secretarial services	
g) Research Incentive (1%)	
h) Other costs (specify)	
i) Overheads and contingencies	
Grand total	

## 12. DECLARATION BY APPLICANT(S)

I/WE.....

declare that if the funds requested are granted to me/us, they will be used for this research project. I/We agree to submit progress reports as requested by the Research and Publications Committee (RPC) and to provide receipts and invoices as requested by the Finance Officer of the College or RPC, and to return all the funds that are unspent at the completion of the project. Furthermore, I/We agree to submit to RPC three copies of any publication produced from this study.

I/WE understand that any equipment, literature or tapes obtained through this grant remain the property of the University of Malawi and are to be left in the care of my/our Head of Department on completion of the project or cessation of my/our services with the University of Malawi or my/our departure on study leave.

I/We further agree to submit to the Committee a final report at the end of the project.

Signed.....Date.....

13. COMMENTS BY FACULTY REPRESENTATIVE.....  
.....  
.....  
Signature.....Date.....

14. COMMENTS BY HEAD OF DEPARTMENT.....  
.....  
.....  
Signature.....Date.....

15. DISCUSSED BY RPC ON (DATE).....

16. DECISION TAKEN.....  
IF APPLICATION IS DEFERRED/REJECTED GIVE REASONS  
.....  
.....  
.....  
.....

CHAIRPERSON'S  
SIGNATURE.....DATE.....

NB:

- i) Comments from Head shall be sent directly to the RPC Secretary within 1 week.
- ii) In the case of a Thesis or Dissertation, RPC will be entitled to a copy by arranging for its reproduction. To encourage publications of data, RPC would accept published articles as reports.

**Appendix 9. Research Contract (Grant Letter)**

**To:** .....  
**From:** Chairperson, College Research and Publications Committee  
**Date:** .....

**RE: RESEARCH AND PUBLICATIONS COMMITTEE (RPC) GRANT NO.....**

Having considered your application, the College Research and Publications Committee, has authorized a grant of ..... towards the cost of your research/publication entitled:

.....  
.....  
.....

Please quote your grant number in all communications.

The grant is in respect of:

- a) Capital equipment .....
- b) Expendable equipment .....
- c) Travelling costs .....
  
- d) Personnel costs .....
- e) Subsistence .....
- f) Secretarial services .....
- g) Other costs (specify) \_\_\_\_\_

**Grand Total** \_\_\_\_\_

The grant is made on conditions set out on the next page. Please sign the next page and return to the College RPC Secretary for release of funds.

**CHAIRPERSON, RESEARCH AND PUBLICATONS COMMITTEE**

CC: Principal  
Registrar  
Faculty Representative  
College Librarian

Finance Officer  
Department of.....  
Dean of .....

## CONDITIONS OF RESEARCH AND PUBLICATIONS GRANTS TO APPLICANTS

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### 1. **Equipment**

Equipment should be ordered through the Finance Officer.

### 2. **Personnel**

Any person employed by the Research Grant Holder should be paid through the College Accounts Office

### 3. **Travelling Costs**

Researchers are supposed to travel to places of research and claim mileage after they have done their research.

### 4. **Cash**

Where you need cash, you should follow the normal procedures of cash imprest.

### 5. **Progress Reports**

Recipients of funds are required to provide progress reports of their work every six months to the Committee through their faculty representatives. Report forms may be obtained from the Faculty Representative or the Secretary to the Committee

### 6. **Publications**

Three copies of any publication supported by the Committee must be sent to the Secretary for record purposes and may serve as a final report. It is mandatory that RPC should be acknowledged.

### 7. **Final Report**

A final report on any research/publication should be submitted at the end of the project on termination of employment, on study or sabbatical leave (where applicable) or secondment to another employer.

### 8. **Over-expenditure**

If a recipient overspends without prior permission by the Committee, the overdrawn amount will be recovered from the recipient's salary.

I/We accept the Grant made on conditions stated above.

**Name(s)**.....

.....  
**Signature(s)**.....**Date**.....

**Appendix 10. Progress Report Form**

---

1. Submitted by:.....  
Faculty of.....  
Date of Submission.....

---

2. Title of Project and Grant No. ....  
.....  
.....

---

3. This research project commenced on: .....and is expected to  
be completed by.....

---

4. State Amount Granted:

- (a) Amount received \_\_\_\_\_
  - (b) Date received \_\_\_\_\_
  - (c) Capital equipment \_\_\_\_\_
  - (d) Consumable materials \_\_\_\_\_
  - (e) Travelling costs \_\_\_\_\_
  - (f) Personnel \_\_\_\_\_
  - (g) Subsistence \_\_\_\_\_
  - (h) Secretarial services \_\_\_\_\_
  - (i) Other costs (specify) \_\_\_\_\_
-

6. State Amount Used (a) Capital equipment \_\_\_\_\_  
 (b) Consumable materials \_\_\_\_\_  
 (c) Travelling costs \_\_\_\_\_  
 (d) Personnel costs \_\_\_\_\_  
 (e) Subsistence \_\_\_\_\_  
 (f) Secretarial services \_\_\_\_\_  
 (g) Other (specify) \_\_\_\_\_  
 Total Spent \_\_\_\_\_  
 Balance \_\_\_\_\_
- 

7. Give details of capital equipment (if any) bought and used for this project, and state present location and condition.....  
 .....  
 .....

8. Write a summary of Project Progress in not more than 500 words. Consider the following points when writing the summary: nature of the problem and achievements to date.  
 .....  
 .....  
 .....  
 .....  
 .....

9. Have you succeeded in doing what you expected?  
 Yes/No  
 (if No, give reasons on a separate sheet).

---

10. I/We .....  
 declare that the information contained in this report is accurate to the best of my/our knowledge. I/We agree to surrender to the College any capital equipment I/we have bought with funds from the Research and Publications Committee.

**Signed**.....**Date**.....

## **Appendix 11.      Format for Final Research Report**

### **1.           Content of the Research Report**

The following heading should be used when writing the final research report:

- a. **Abstract:** should not exceed one page;
- b. **Acknowledgements;**
- c. **Table of contents;**
- d. **List of Figures;**
- e. **List of acronyms and symbols;**
- f. **Introduction:** should include contextual information and rationale i.e why the researcher(s) felt that the research project was important enough to be carried out;
- g. **Objectives:** researcher(s) must spell out the issues valuated as well as specific issues;
- h. **Literature review:** should cover relevant literature (local and international) including most recent published literature;
- i. **Methodology:** A very detailed explanation of the approach adopted and the actual methods used and how the data was collected, analysed and presented and the rationale for doing so should be presented. The targets of the study, sample size and study period must be spelt out and so should the geographical area;
- j. **Experimental details:** detailed protocols should be presented where necessary;
- k. **Results:** results should be described and presented in detail, making use of the most effective formats such as figures, tables etc.;
- l. **Analysis and discussion of the results:** implications of the results for theory, policy, practice, etc. should be spelt out, with backing from appropriate analyses, e.g using statistical methods;
- m. **Conclusions and recommendations:** main inferences derived from the research should be stated and recommendations as to what should be done or for application should be spelt out;
- n. **References/Bibliography:** should follow established standard practice for journal articles;
- o. **Tables;**
- p. **Plates;**
- q. **Figures;**
- r. **Appendices.**

### **2.           Format of the Report**

- a. All headings should be left justified.
- b. Use single line spacing with font of 12 cpi on A4 paper
- c. Tables, Plates and Figures should preferably appear within the text of the report in the right places although placing them at the end of the report will be acceptable.

- d. Literature citations should conform to the standards adopted in international journals.
- e. The report cover should be as presented in Appendix 12.

### **3. Electronic copy**

An electronic version of the final report should be submitted.

# UNIVERSITY OF MALAWI

(Name of Faculty, Centre or Unit)



FINAL RESEARCH REPORT

(TITLE OF THE RESEARCH PROJECT)

Research Report No: \_\_\_\_\_

Authors:

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

\_\_\_\_\_  
(Day, Month, Year)

**Appendix 13. Guidelines for Peer Reviewing of Final Research Report**

**1. General Observations**

Is the editorial quality acceptable? Yes / No  
Comments.....

Is the layout satisfactory? Yes / No  
Comments.....

Is the report length acceptable? Yes / No  
Comments.....

Is the quality of references acceptable? Yes / No  
Comments.....

Observations on general requirements (font, line spacing, margins etc)  
Comments.....  
.....

**2. Detailed Comments**

Does the **Abstract** adequately summarise the report? Yes /No  
Comments.....

Is the **Introduction** sufficiently detailed for this type of research? Yes / No  
Comments.....

Are the research **Objectives** clear and do they reflect what has been achieved in the results? Yes / No  
Comments.....

Is **Literature Review** relevant, sufficient and up-to-date? Yes / No  
Comments.....

Is the **Research Methodology** sufficiently described? Yes / No  
Comments.....

Are the **Experimental Details** well described and can they be repeated? Yes / No  
Comments.....

Are the expected **Results** accurate and well represented? Yes / No  
Comments.....

Is the **Analysis of Results** accurate and exhaustive? Yes / No  
Comments.....

Is the **Discussion** of the results accurate and exhaustive? Yes / No  
Comments.....

Are the **Conclusions and Recommendations** relevant and consistent with the analysis? Yes / No  
Comments.....

Do the Conclusions and recommendations match the research objectives? Yes / No  
Comments.....

Are the **References/Bibliography** relevant and up-to-date? Yes / No  
Comments.....

### 3. Recommendation

Would you recommend that the report be published (tick one):

- Without changes?
- With minor changes?
- With major revisions?
- Not to be published due to poor quality? If so, what are your reasons?
  1. ....
  2. ....
  3. ....etc.

#### **Appendix 14. Guidelines for Consultancy and Contract Research**

These guidelines are aimed at promoting the consultancy and contract research capabilities of staff members, working individually or in groups, so that there is uniform and consistent implementation throughout the University.

- a. Consultancy and contract research projects will be sourced through the University Directorate of Consultancy Services, College Consultancy Bureaux, Departments, Faculties, Research Entities or by individual staff.
- b. The University Directorate of Consultancy Services and College Consultancy Bureaux will maintain a data bank of multi-disciplinary expert groups, including the curriculum vitae of individual members.
- c. The University Directorate of Consultancy Services and College Consultancy Bureaux will make bids for consultancies by mobilising available expertise to formulate proposals for the bids and submit these in a timely manner.
- d. The University Directorate of Consultancy Services and College Consultancy Bureaux will mobilise available expertise to respond in a timely manner where clients make approaches to offer sponsored, contract and commissioned activities;
- e. For consultancy work that has been mobilised through the University Directorate of Consultancy Services and College Consultancy Bureaux, consultants will be required to pay to the University 25% of the net amount realised from the consultancy, to be distributed as follows:
  - i. 10% will go to the Department;
  - ii. 5% will go to the Faculty; and
  - iii. 10% will go to the University Directorate of Consultancy Services and College Consultancy Bureau.
- f. For consultancy work that has been mobilized by individuals, departments, Faculties, and research entities, the 25% will be distributed as follows:
  - i. 10% will go to the Department;
  - ii. 10% will go to the Faculty; and
  - iii. 5% will go to the University Directorate of Consultancy Services and College Consultancy Bureau.

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