



DILLA UNIVERSITY



THEMATIC RESEARCH GUIDLINE

OFFICE FOR RESEARCH AND DISSEMINATION



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Committee Members

1. Dr. Habte Dula (Chair Person)
2. Dr. Melese Maryo (member)
3. Mr. Tagel Elias (secretary)
4. Dr. Alemayehu P. Washe (member)
5. Mr. Teshome Gudissa (member)
6. Mr. Yakob Chaka (member)

Preface

This thematic research guideline is prepared by a committee consisting of seven members, commented and amended by the University's Research, Dissemination Committee, and finally approved by the University senate on 28 December 2016. It serves as a legal document at Dilla University for the conduct of thematic research. The document is prepared to aid and facilitate the decision making process and conduct of the thematic research. Thematic research is a newly initiated culture at Dilla University. This document shows the thematic research areas identified in 2013 and additional areas may be identified as deemed necessary. However, this guideline will serve as a binding document for the conduct of thematic researches in progress as well as those to be added in the future. The document consists of guidelines for team formation, proposal development, proposal evaluation and approval, dissemination and authorship, financial/resource management etc. Annexes are also provided after the guiding principles.

Acknowledgements

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Research and Dissemination Office Director

Melesse Maryo (PhD)

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Background

In line with Ethiopia's vision to become middle income economy and the government's commitment for its realization, the country demands a lot from its Universities. On the other hand, it is widely assumed that in the context of current knowledge driven economy research, innovation and technological development play an increasingly important role in national development. Knowledge production, accumulation, transfer and application have become major factors in socio-economic development and are increasingly at the core of national development strategies for gaining competitive advantages in the global knowledge economy.

Thus, the objectives of research at Universities should be geared towards advancing fundamental knowledge, accumulation, transfer and application. In other words, research at Universities should contribute to improved health, economic prosperity, social cohesion, international development, better public policy, community identity, the arts, culture and the quality of life.

Consistent with the above objective a number of researches have been conducted at Dilla University since its conception in 1996. Although there is a progressive improvement in the number of researches conducted by academic staff, postgraduate students and other offices such as the institute of indigenous studies, a lot remains to be done to ensure the quality and impact of our research to community development.

Consequently DU is reinvigorating its research as is true in its other mandates to realize its **vision to be one of the top ten universities in East Africa by 2023**. Being cognizant of the amount of work and outcomes expected to level the research performance of best Universities in East Africa, Dilla University strives to:

- maximize its research capabilities and increase the impact of research
- achieve an academic and research staff profile that is appropriate to its aspired future
- promote rigorous research that is relevant to the nation's and local community development needs
- engage the local community participation in its research

- facilitate multidisciplinary research excellence
- build sustainable research partnerships or collaborations with national, local and international institutions for development

Consequently major attention has been given to thematic research programs instead of individually conducted fragmented researches which have seldom yielded visible outputs. Perhaps a few words on our understanding of thematic research may be important. **Broadly defined, thematic research is a cooperative research requiring multidisciplinary approach on a priority national problem.** The aim of thematic research extends from knowledge production and accumulation to useable technology creation. Thus it has a clear potential to contribute to the socio-economic development of a country. It requires not only partnership of researchers from diverse fields of studies and industries but also government institutions and others that will finally benefit from the research outcomes.

The selection of priority thematic research areas should thus be made in line with the development needs of the local community and the country at large and through consultative process with other stakeholders. It should respond duly to strategic directions stated in the growth and transformation plan (GTP) of the country and the research priority areas identified by the Ministry of Science and Technology for local development.

The selection of thematic research areas at Dilla University involves four key steps:

1. Revision of important policy documents including GTP and research policy directions by the Ministry of Science and Technology for local development.
2. Involvement of colleges/institutes/schools to select their priority research areas.
3. Summarizing and integrating the priority research areas collected from different colleges/institutes/schools at university level
4. Streamlining of the identified thematic research areas taking advantage of two conferences conducted at the university-University-industry linkage and annual research review conferences where all university academic staff, different stakeholders, customers and representatives from regional and zonal administrative and development bureaus including education, agriculture, health, environmental protection, tourism etc and nearby woredas in Dilla University catchment

areas. After the above steps, the following research areas were set to be research priority areas of Dilla University:

S.No	Title
1	Indigenous Knowledge for Sustainable Development
2	Environmental Change and Ecosystem Management
3	Renewable Energy for Rural Development
4	Quality of Education in Cash Crop Areas
5	Culture, Language, Tourism/Art, and Heritage for Sustainable Development
6	Enset and Enset Based Agroforestry in Densely Populated Landscapes
7	Crops Agronomy, Processing (Technology) and Marketing
8	Extensive Production System (Livestock, Beekeeping, Fishery, and Poultry Productivity)
9	Research for Small Scale Enterprises and Entrepreneurship
10	Building Social Competence of Women, Children and Youth
11	Primary Health Care Research
12	Nature, Science and Technology for Development (Disease Prevention, Diagnosis (Biosensors), and Treatment)
13	Good Governance and Taxation (.....Savings, Credit, etc)

This guideline to conduct thematic research undertakings at DU emanates from the research policy of the university. The guidelines are meant to guide effective implementation and conduct of thematic research including reporting and dissemination of results and are expected to aid decision making process at DU in relation to the research. This document, thus, includes guidelines for: team formation, development of proposals, evaluation and approval of thematic research proposal, financial management, performance management, ethical issues, reward and remuneration mechanisms; administration and management of research funding; as well as resources sharing, institutionalizing research, and engage PG students in research.

Guidelines for the conduct of thematic research

a) Team formation

Each thematic research team should consist of at least 5 members (having different expertise) per each project as part of the thematic research area. Leaders should consider gender balance in the team formation. The contribution of each member shall be indicated as per the execution of specific objectives. The number of members should not exceed 10 per thematic research area. Therefore, the thematic research leaders should seek to find appropriate persons who have the required expertise, experience, and willingness to cooperate and work in a team. Thus the

formation of a team may require the leader to talk to individuals who fulfill the required criteria. A research staff of other institutions may be considered if the required expertise is not available among Dilla University (DU) academic staff or as a repercussion of the established partnership. The leader should also provide opportunities for all persons among the DU academic staff who might fulfill the requirements. Consequently the leader must post an announcement for membership. Prior to the announcement, however, it is very important to fix the sub thematic research areas or the major objectives of the thematic research area in consultation with vice deans for research (otherwise other appropriate staff officially appointed for research affairs) of the college/school/institute to which the thematic research area is affiliated. The sub thematic research areas or the major objectives should be included in the announcement for membership so that the applicants can decide which area they could apply for. The application document should contain a cover letter, curriculum vitae, and a concept note about the specific research topic (as part of one of the sub thematic research areas) he/she is interested to work-in.

Each thematic research team should consist of a leader, a co-leader, and a secretary besides other team members. The duties and responsibilities of the leader are enclosed with this document. However, the three members (leader, co-leader, and secretary) should jointly initiate actions important for the progress of the project starting from idea development for research proposal to its execution. While the co-leader often coordinates the proper conduct of the research and cooperates with the leader in the preparation of the deliverables (reports, manuscripts etc), the secretary follows up and records the proper use of the budget allocated for the project. In fact each thematic research leader should form a committee consisting of three members (secretary plus two others) of the group to be chaired by the secretary. The committee shall try to ensure proper utilization of the budget allocated to the project. Thus, the leader should always inform the secretary about each expense and shall advice him/her to keep record of the balances (but not the invoices). The secretary, thus, approves the financial reports to be submitted to the office of Research, Dissemination, and Community Services at the end each budget year.

b) Proposal development

Once the team is formed, the next step may be a call for meeting of team members to discuss how to proceed. The team may need to have a team norm which shall be obeyed by each member

of the team including the thematic research leader. One of the purposes of the meeting could be the development of a research proposal. The thematic research leaders should consult the **national development plan**, the **local community and/or end user research demand** and develop proposals in consultation with the team members on the identified thematic research topic. It is the responsibility of the leader to call the members for meeting and discuss the need for research proposal and ensure opportunity for members to participate in the proposal development. The thematic research proposal shall be developed on the thematic research topic approved at the university through participatory and consultative approaches. **Members should consider the relevance, urgency, originality, multidisciplinary nature, and potential for publication of their research topics as part of the thematic research topic.** The preparation of proposals should be in line with the proposal write up guideline attached with this document. **The thematic research topics may consist of three to five sub thematic areas. However, the sub thematic areas and the corresponding objectives should lead to an overall realization of the thematic research goal.** The sub thematic areas may be organized in phases so that the accomplishment of one sub thematic research area may lead to the commencement of the next thematic area. However, when possible the sub thematic areas may be organized parallelly if the condition does not contradict with the research policy guide line of DU. Thematic research is not a compilation of researches that can be conducted individually. The proposal should clearly indicate the outcome or impact and outputs of the research including publications and contributions to scientific conferences, inter alia. The duration of thematic researches should not exceed 3-5 years. If some unforeseen factors hinder the progress of the research its duration shall be extended upon confirmation of RDC. See below for guidelines for authorship.

b) Proposal evaluation and approval

Once the proposal that fulfills the requirements (of the university or the funding organization) is developed, the next step is to seek approval and acceptance. For approval and acceptance of the thematic research proposal, Dilla University has set the following steps:

1. The leader shall submit the pdf and docx version of the proposal and cover letter to Research, and Dissemination, Office (RDO) of DU electronically. In consultation with the team members, the leader should suggest in the cover letter at least three reviewers who are experts in the area.

2. The RDO should forward the proposal to the reviewers along with the **evaluation checklist**. The university may seek to appoint reviewers-one from those suggested by the leader and one from outside. The latter could be from the university staff or from other university in Ethiopia depending on the required level of expertise and shall be identified in consultation with Vice Deans for research affairs of the College/School/Institute. The RDO shall seek comments of Vice Deans for Research affairs of the College/School/Institute on the appropriateness of the suggested reviewers. Incentives shall be paid as per annex 16 of the research policy guide line of DU.
3. After having obtained reviewers comments, the RDO should forward the comments to the thematic research leader for consideration. The proposal shall cherish a recommendation by two of the reviewers for further consideration. The leader should incorporate all the comments or react to them. Then the revised version of the proposal shall be resubmitted to the RDO. The revisions shall be indicated in a different color in the text. If the proposal is not recommended for further consideration by the reviewers, the leader shall consider major revisions and restart the proposal development process.
4. The proposals recommended for further consideration by the reviewers in step 3 and resubmitted to RDO as revised version may qualify to be presented to the university's Research and Dissemination Committee (RDC) for open defense by the leader. All members of the team should attend the presentation and may participate in the defense as deemed necessary. The university may seek to invite external examiners as deemed necessary. In addition, appropriate professionals shall be invited to the defense meant to enrich the research proposal. The RDC makes the final decision either to accept or reject the proposal based on the set criteria. While the TR leader of each TR projects enters and signs the contractual agreement with the university on the accepted proposals, the leaders whose proposal has been rejected shall go on to restart the proposal development process. The new proposal shall pass through all the evaluation steps including reviewers.
5. The cost breakdown of the total budget required for completion of the project shall be indicated in phase wise per project years per objectives. In this case the university shall demand a sound report of progress including the outputs of the work performed in the

previous phase before release of the new budget. The leader should allocate the budget to the research activities as stipulated in the contractual agreement.

The leader should ensure equal participation of all the team members (of the funded project) in the conduct of the research (data collection, data interpretation, literature survey, discussions, final write up, publication process, etc) according to their request and expertise. Students (MSc/MA, and PhD) who haven't participated in the proposal development process but whose participation may be important for the realization of the project may be involved at all levels of the research. In fact, all thematic research leaders should consider participation of students (Masters or PhD). The masters or PhD students may use the data generated in the team for their thesis only when:

- i) they have a major contribution in generation of such data
- ii) the other team members provide a written confirmation about possible utilization of the data by the student
- iii) directly related to their masters or PhD thesis

BSc/BA students or a staff holding such Degrees may participate in the research under special circumstances and for justifiable reasons.

c) Dissemination and authorship

All researches conducted as thematic research shall have a dissemination and publication plan as outputs. The outputs can be published in journal articles, conference/seminar proceedings and in book forms. It is the responsibility of the leader to plan publication in reputable journals and presentations in national or international conferences. It would be a wise idea to plan participation in conferences where acceptance of abstracts involves a review process so that the abstracts or the work might be published in proceedings. The leader should plan optimum number and types of publications. Authorship of possible publications shall be decided (according to contributions) by the investigators who have been actually involved in the work as well as in the preparation of the manuscript. Normally, the person who made a major contribution from the selection of research topic/idea to data collection, data interpretation or analysis and preparation of a draft manuscript shall be assigned as a first author. Corresponding

author and other members of the authorship shall be decided by the team members based on contributions.

d) Financial management

The thematic research leader at DU holds the overall responsibility for the technical and financial management of the thematic research project. This includes the management of the project within funding limitations, adherence to project protocol agreed upon, timely reporting of deliverables (such as progress reports, publications, etc) and notifying the university when significant conditions related to project status change. While responsibility to day-to-day management of the project may be delegated to co-leader, accountability for compliance with DU research policy and requirements ultimately rests with the TR leader. DU requires all the TR leaders to review their obligations for compliance with applicable regulations.

f) Resource management

Thematic research leaders shall not employ University staff as employee with the fund allocated for research. The researchers shall not use the university resources, including facilities, budget, personnel, equipment, or confidential information for any other purposes that are not related to the research missions of DU. Breach of the above rules may impose one of the actions indicated under (g) below.

g) Performance management

The thematic research leaders are responsible for the performance of the team. The performance shall be evaluated in terms of outputs. The outputs may include publications, presentations in conferences, proceeding papers, and patents. Each thematic research area leader must publish at least one article in a reputable international journal in the area or one proceeding paper as part of participation in international conferences, and two presentations in national conferences per year. The reputability of the journals including national journals shall be ensured as per the DU senate legislation article 54:4(4) J and the journal reputability guideline of the university. It is the responsibility of the thematic research leader to plan budget for publication costs including costs for language proof reading. The university shall pay the costs required for publications or participations in conferences (one presenter from each thematic research area per year for international conferences). For participation in international conferences priority shall be given

to oral presentations as opposed to poster presentations. Failure to produce the above outputs per year may lead to:

- Change of the TR leader and
- Termination of the contract

h) Incentives and reward

The university shall seek ways to motivate its staff for participation and effective conduct of research with high quality. The university shall consider 4 credit hour equivalents to thematic research leaders, 2 credit hour equivalents to each co-leader and secretary pertinent to additional roles they play (unlike other team members who are mainly involved in a routine conduct of research), 1 credit hour equivalents to the remaining members of the team per semester provided that there is at least one accepted thematic research project in progress under the coordination of the leader. The basis for the determination of credit hours is the assumption that the thematic research leaders spend 75% of their career duty as DU staff to research and research related activities in the same vain as staff of “Institute of Indigenous Studies”. In addition to this, competition among TR teams under different TRLs shall be promoted through award based on the overall performance of the team. A team which has published at least three articles in reputable journals-two in international and one in national shall be awarded a prize amounting to 30,000 birr. Those who have published three articles in reputable journals-one international and two national shall be awarded a prize amounting to 25,000 birr. Those who have published at least two articles in reputable journals-one international and one national shall be awarded a prize amounting to 20,000 birr. The upper limit of publications for second and third category of award depends on the first best performer. If, for instance, there is a team having 4 publications (two international and two national journals), the other team who has published three articles (two international and one national article) shall be considered for award under second category. Each funded sub thematic research project shall be considered a credit hour equivalent of 4 which shall be divided among the team members (except the leader, for it is already considered above) who are actually involved in the project. The involvement of staff in research and the credit equivalent shall be communicated to the respective department by the TRL.

i) Conflict of interest

A conflict of interest occurs when there is a disagreement between the thematic research leaders's or team member's personal interests and her or his professional obligations to DU or to the obligations stated in this guideline or the DU's research policy. Such personal interests may be manifested by decisions or claims based on considerations of personal gains, financial benefits, or authorship. The thematic research leaders should ensure that the research is conducted in a way that avoids or minimizes such conflicts of interest. The university must respond appropriately when conflicts of interest arise. When conflict of interest arises between the leader and other team members, it is the responsibility of either of the parties to initiate a discussion within the team. Cases beyond the team shall be submitted as written requests for the resolution of the conflict to appropriate bodies (academic/research or disciplinary) of the university. The TRLs should be answerable to college/school/institute vice Deans for research affairs. The vice Deans shall follow up the proper conduct and progresses of the research.

j) Breach of agreement

Any breach of agreement regarding thematic research shall be addressed as per annex 4 of the research policy guideline of DU.

Registration of the thematic research project

All thematic research projects shall be registered at college/institute/school level and University with serial numbers that include in that order college's/institute's code, TH for thematic project code, year of registration and project number. The codes for colleges/institutes/schools shall be as indicated below. The title of the project shall also be written in front of the serial code. For example, if there is a thematic project from the college of Natural and Computational Sciences with a project code ETHMED, approved in 2014 and being the first project in that year for the college as a thematic research, it will have the following serial number with a project title written in front of the serial number indicated as follows.

NCSc/TH/ETHMED/2014/1: Ethno medicinal Plants in Southern Nations Nationalities and Peoples Region of Ethiopia: Documentation, Conservation and Scientific Development (ETHMED)

The Colleges/institutes and departments code could be as follows:

1. College of Agriculture and Natural Resources (AgNr)
2. College of Natural and Computational Sciences (NCSs)
3. College Engineering and Technology (ETech)
4. College of Health and Medical Sciences (HMed)
5. College of Social Sciences and Humanities (SoSch)
6. College of Business and Economics (BEco)
7. Institute of Education and Behavioural Sciences (EduBSc)
8. Law School (LS)
9. School of Graduate Studies (SGS)

N.B. This guide line is subject to modifications if the need to do arises.

ANNEXES

Annex 1. Criteria for selection of thematic research leaders

The requirements for candidacy for the post of thematic research leadership are the following:

1. Having relevant background (the applicant must have formally conducted at least 1 research directly related to the thematic research he/she is applying for)
2. Being a staff member of Dilla University (DU)
3. Willing and intending to stay at least for three years in DU after the selection for the thematic research leadership position. In case the TRL has to leave DU before the completion of the project, he/she must delegate the co-leader until a new TRL is selected.
4. Have enclosed both CV and concept note with the application document for the post of TR leader
5. The title of the research must coincide with one of the thematic research areas identified at University level

NB: Failure to fulfill any one of the above conditions may lead to **ineligibility**.

Checklist for the selection of TR leaders

1. CV

- a) Qualification (Professor (5), Ass. professor (4), Masters (3))
- b) Work Experience at HEI (≥ 7 (5), 6 (4), 5 (3), 4 (2), 3 (1))

- c) Research experience (number of formally conducted research, research conducted at other places (than DU) are considered only when there is a valid evidence (publications, or certificate, MSc/PhD certificate)): ≥ 5 (5), 4 (4), 3 (3), 2 (2), 1 (1)
- d) Publications
 - Visible International journal (ISI indexed, ≥ 2 (5), 1 (4)) i
 - Visible international journal (non ISI indexed but a peer reviewed high impact, ≥ 3 (5), 2(4), 1(3), 0 (0))
 - National journals (≥ 4 (5), 3(4), 2 (3), 1 (1))
- e) Number of scientific/academic conferences attended as confirmed through certificates (≥ 5 (5), 4 (4), 3 (3), 2 (2), 1 (1))

Concept note

- a) Qualifies as thematic research (multidisciplinary, requires continuous investigation) Yes (5), No (0)
- b) Title (in line with the proposed thematic research area (5), not (0))
- c) Are the qualifications and experiences of the investigators appropriate to conduct the study (yes .70-90%) of the members have directly related qualification and research experience to the sub thematic research wherein he/she might be involved (5). 50-60% of the members have directly related qualification and research experience to the sub thematic research wherein he/she might be involved (3-4)
 $\geq 50\%$ of the members **do not** have directly related qualification and research experience to the sub thematic research wherein he/she might be involved (0)
- d) Does the concept note include sub thematic research components (4-6 (5), 3(4), 2 (2), ≥ 7 (0), < 2 (0))
- e) Objectives (do the foreseen outcomes call urgency (yes (5), No (0))
- f) Addresses national/local priority problems (yes (5), No(0))
- g) Have formed a team consisting of at least 7 members from different background; each having a potential to contribute to a clearly set specific research component. (Yes (5), 6 (4), 5 (3), < 4 (0) and No(0))

Annex 2. Checklist for selection of thematic research leaders

Name of candidate: _____

Department: _____

Thematic _____ Research _____ title: _____

Minimum requirement for candidacy for the post of thematic research leader

1. Relevant background (the applicant must have formally conducted at least 1 research directly related to the thematic research he/she is applying for)
2. Is DU staff member
3. Has a plan to stay at least the next three years at DU as a full time staff
4. Good level of communication in English
5. Have enclosed both CV and concept note with the application doc. for the post of TR leader
6. The title of the research must coincide with one of the proposed thematic research areas

Note: Please put a tick (✓) for each assessment criteria where number five (5) is given for the highest value and number one (1) for the lowest weight.

	Points	Poor	Low	Good	V.good	Excellent
No.	CV	1	2	3	4	5
1	Qualification					
2	Work Experience at HEI					
3	Research experience					
4	Publications					
5	Number of scientific/academic conferences attended					
II	Concept note					
1	Qualifies as thematic research (multidisciplinary, requires continuous investigation)					
2	Title (in line with the proposed thematic research area)					
3	Qualifications and experiences of the investigators appropriate to conduct the study					
4	Does the concept note include sub thematic research components					
5	Objectives stated as SMART					

6	Addresses national/local priority problems					
7	Have formed a team consisting of at least 7 members from different but relevant backgrounds					
	Total (60%)					

Annex 3. Responsibilities of the thematic research team leader

- a. Enter into and sign an agreement with the university on behalf of the team of researchers
- b. Manage and administer the project fund.
- c. Participate and coordinate the development of full project proposal.
- d. Defend the proposal through PPT presentation to DU'S Research and Dissemination Committee.
- e. Form a team consisting of staff members from all relevant fields of studies based on open notice (announcement) and based on measurable criteria.
- f. Coordinate and participate in the research; ensure the quality of the research.
- g. Submit timely progress report based on the agreement and when deemed necessary to the RDCS directorate and to the Ac/Re/V/President.
- h. Ensure the smooth running of the project and ensure delivery of the output as indicated in the main project proposal.
- i. Ensure the compliance of university's research rules and regulations including guidelines for the conduct of thematic research.
- j. Handle properly all primary data generated by the team and eventually submit to RDCS Directorate at the completion of the project.
- k. Ensure all university policies related to research and community services are respected.
- l. Involve graduate students, as deemed necessary.
- m. Develop a guideline how each member of the team will involve in the research (each member could enter into agreement with the leader).
- n. Keep all documents pertaining to the project (minutes of the meetings, book keeping, data collection instruments, raw data, etc).

1. Responsibilities of co-leader and secretary:

- a. Support the leader on all matters related to the research project

2. Responsibilities of members of the researchers

- a. Based on the agreement they signed with the team leader, pursue the research
- a. Benefits of the team leader: To be part of the research for which equivalent credit hour will be considered.

Annex 4. Guidelines for Preparation of Research Proposals

The proposal should consist of the following components:

4. Title: (Max.2 lines in Times New Roman, font 12 bold)

The title should be clearly stated and reflect the goal or the local/national priority problem area as stated in thematic research. **NB: The title and the objectives should be derived from the main project proposal of the thematic research. (Should be done in consultation with the team members)**

2. **Executive summary:** It should include overview of the intentions of the research, significance, and envisaged actions that might lead to solutions. **(Max. 500 words)**

3. Introduction (Max. 2 pages)

State the relevance and significance of the subject to deal with.

Provide state of the art/knowledge- Provide a general presentation and analysis of previous works in relation to the problem(s) based on updated literature review. **Indicate the limitations of previous works such as unaddressed subjects or the research gaps.**

State your hypothesis here...

State the new knowledge (or policy brief) that this piece of work could add to the existing body of knowledge in the area, or the new technology that this research would create.

4. Statement of the problem (max. 500 words)

State the problem in relation to the development agendas.

NB: The problem should be the already identified **real problem**. A proposal on the intention to assess if problems exist may not be accepted as research proposal (due to fund limitations).

5. **Objectives:** Provide general and specific objectives

6. **Methodology:** Give an overview of the general methodology relevant to the proposed actions to realize the specific objectives.

7. **General plan of the work**

8. **Cost breakdown**

Please provide itemized break down of total project cost of the financial plan and budgetary outlay per year per objective and corresponding activities.

9. **Ethical clearance:** Please suggest how you would properly address ethical issues if human and animal subjects are involved in the action.

10. **Quality assurance mechanisms:** Plan seminar presentations, reports to RDO (twice a year), transparency, biannual meetings with RDC/stakeholders, etc.

11. **Sustainability:** Provide an initial risk analysis and eventual contingency plans for the project.

If possible, list the possible challenges for each proposed action and suggest possible mitigation measures.

12. **Outputs/Outcomes:** What are the major achievable milestones or deliverables that the proposal is designed to accomplish? These can be described in the knowledge that can be created (possible number and types of publications: journal articles, presentations at conferences, proceeding papers) and usable technologies that could be achieved during and after the completion of the research. Please plan carefully as this is how the performance of the team is going to be evaluated.

13. **Beneficiaries:** Provide the short and long-term beneficiaries of the action to be taken.

14. **Team profile**

Please include a brief description of educational background and research experiences of each of the **team** members.

15. **References:** All literatures referred during the compilation of the proposal should be referenced.

Annex 5. Guideline for scientific evaluation of thematic research proposal at Dilla University (for Reviewers)

Title of Thematic Research area _____

Title of proposal _____

Name of Thematic Research Leader _____

Institutes/College _____

Note: Please put a tick (✓) for each assessment criteria where number five (5) is given for the highest value and number one (1) for the lowest weight.

1	Assessment Criteria	Weights				
		1	2	3	4	5
1.1	Does the title reflect a national or local priority area for addressing the production of usable technologies and knowledge needs of end-users (the general public, agriculture workers, industries, and higher education and research institutes)?					
1.2	Does the title encompass the sub-thematic research titles and the actions thereof?					
1.3	Does the title of the proposal send the right message to government support and international development partners?					
	Subtotal (out of 15)					
2	Investigators/co-investigators					
2.1	Are the academic qualifications and experience of the investigators /co-investigators appropriate to conduct the study?					
2.2	Does the research integrate investigators of various expertise					
	Subtotal (out of 10)					
3	Executive summary					
3.1	Does the executive summary represent the contents of the whole research with appropriate summaries of the actions to be taken and the deliverables thereof?					
	Subtotal (out of 5)					
4	Objectives					
4.1	Do the objectives of the whole thematic research lead to the ideas indicated in the title?					
4.2	Do the objectives of the sub-thematic research parts comply with the corresponding subtitles?					
4.3	Are the objectives SMART					
4.4	Do the objectives of each sub thematic areas build up to realize the overall objective?					
	Subtotal (out of 20)					
5	Relevance and the state of knowledge (background)					
5.1	Are the problems to be addressed sufficiently described?					
5.2	Is the theoretical frame work supported by adequate review of current literature?					
	Subtotal (out of 10)					
6	Description of the action and its effectiveness					
6.1	Is the work plan to accomplish the thematic research and its activities designed in the way the intended objectives and goals can be achieved (includes study time frame and date of activity completion)					
6.2	Are the facilities and infrastructure of participating institutions, if any, (study sites) appropriate?					
6.3	Feasibility of the study (in terms of cost, legal, political, time frame,					

	etc)						
6.4	Is there itemized break down of total project cost of the financial plan and budgetary outlay						
6.5	The cost breakdown is justified and appropriate						
	Subtotal (out of 25)						
7	Sustainability						
7.1	Are the set risks /benefits relevant or do they look real in light of the planned actions of the thematic research?						
7.2	Are the suggested mitigation measures workable and bring back the research into the correct track?						
	Subtotal (out of 10)						
8	Outputs						
8.1	Possible number and type of publications suggested						
8.2	Possible number and type of publications suggested are realistic						
8.2	Other dissemination plans such as conferences are properly planned						
	Subtotal (out of 15)						
9	Outcomes						
9.1	Do the suggested outcomes (deliverables) meet the requirements of the title in producing sufficient knowledge and usable technologies for end-users?						
9.2	How strongly are the outcomes in favor of usable technologies?						
9.3	How strongly are the outcomes in favor of knowledge production?						
9.4	Are there specific concepts or titles stated on which MSC/MA/PhD candidates can work on?						
9.5	Is the suggested number of MSc/MA/PhD candidates adequate?						
9.6	How strongly are the outcomes in favor of contribution to the development of capacity for research/teaching?						
	Subtotal (out of 30)						
10	Beneficiaries						
10.1	Are the appropriate beneficiaries stated that could make use of the research outcomes?						
10.2	Best would have been if such beneficiaries were involved in the proposal design. Are they involved?						
	Subtotal (out of 10)						
11	Summary of the research components						
11.1	Are the various components of the thematic research adequately described that readers can understand the whole project from this summary?						
	Subtotal (out of 10)						
12	Methodology						
12.1	Do the methods depicted lead towards the accomplishment of the goals, objectives and deliverables?						
12.2	Are the methods well described in terms of:						
12.2.1	Research design						
12.2.2	Sampling plan						

12.2.3	Instrumentation						
12.2.4	Data gathering techniques						
12.2.5	Data analysis						
12.2.6	Are the methods contemporary?						
	Subtotal (out of 35)						
13	Economic resources						
13.1	The budget allocation is fair and appropriate to the work plan/activity						
13.2	The cost breakdown is detail and clear						
13.3	The budget allocation is made phase wise per year per objective						
13.4	The expenditures will contribute to the return to DU's research capacity building						
13.5	Does this research contribute to capacity building and continued growth of the university?						
13.6	Is this research economically feasible?						
13.7	Subtotal (out of 30)						
14	Ethical clearance						
14.1	Are the appropriate ethical clearance mechanisms, if projects involve human, animal, or heritage, in place?						
14.2	Do the mechanisms ensure regular site monitoring of its performance and appropriateness?						
14.3	Safety issues properly addressed						
	Subtotal (out of 15)						
15.	Quality assurance mechanisms						
	Proper guidelines for progressive and transparent reporting, monitoring and evaluation indicated						
	Subtotal (out of 5)						
	Total marks earned (m)						
	Max. mark (nx5)						
	% (out of 100%)						

NB: You may leave some of the assessment criteria as NA if not applicable. Please use the following formula to report the result out of 100%

$$\% = \frac{m}{n \times 5} \times 100, \text{ where } m \text{ is the total marks earned and } n \text{ is number of assessment criteria considered}$$

What is your overall impression of the general direction of thematic research and the proposals submitted to you?

Any other comments:

Please show your decision by putting a tick (✓):

1. I recommend this proposal for further consideration ()
2. I recommend this proposal for further consideration with major revisions ()
3. I do not recommend this proposal for further consideration as a research proposal ()

(a) Names and (b) signature of assessors with (c) dates

1. (a) _____ (b) _____ (c) _____

Annex 5.1 Reviewer’s Comments (Evaluation of Research Proposals)

Title of Thematic Research area _____

Title of proposal _____

Name of Thematic Research Leader _____

Institutes/College _____

Reviewer’s Name (Only for official purposes and it will not be disclosed to any person)

Name _____ Expertise _____

College _____ Department _____ University _____

Please provide your genuine comments below according to each of the perspectives evaluated

1. Title

Comments _____

2. Investigators/co-investigators

Comments _____

3. Executive summary _____

4 Objectives

Comments

5 Relevance and the state of knowledge (background)

Comments: _____

6 Description of the action and its effectiveness

Comments: _____

7 Sustainability

Comments: _____

8 Outputs

Comments _____

9 Outcomes

Comments _____

10 Beneficiaries

Comments _____

11 Summary of the research components

Comments _____

12 Methodology

Comments _____

13 Economic resources

Comments _____

14 Ethical clearance

Comments _____

15. Quality assurance mechanisms

Comments _____

What is your overall impression of the general direction of thematic research and the proposals submitted to you?

Any other comments:

Please show your decision by putting a tick (✓):

- 4. I recommend this proposal for further consideration ()
- 5. I recommend this proposal for further consideration with major revisions ()
- 6. I do not recommend this proposal for further consideration as a research proposal ()

(b) Names and (b) signature of assessors with (c) dates

2. (a) _____ (b) _____ (c) _____

Annex 6. Guideline for evaluation of thematic research proposal (for RDC members)

Title of Thematic Research Area _____

Title of proposal _____

Name of Thematic Research Leader _____

Institutes/College _____

Note: Please put a tick (✓) for each assessment criteria where number five (5) is given for the highest value and number one (1) for the lowest weight.

1	Assessment Criteria	Weights				
		1	2	3	4	5
1.1	Does the title reflect a national or local priority area for addressing the production of usable technologies and knowledge needs of end-users (the general public, agriculture workers, industries, and higher education and research institutes)?					
1.2	Does the title encompass the sub-thematic research titles and the actions thereof?					
1.3	Does the title of the proposal send the right message to government support and international development partners?					
Subtotal (out of 15)						
2	Investigators/co-investigators					
2.1	Are the academic qualifications and experience of the investigators /co-investigators appropriate to conduct the study?					
2.2	Does the research integrate investigators of various expertise					
Subtotal (out of 10)						
3	Anticipated contributions					
3.1	Is the research gap clearly indicated					
3.2	Will the work contribute new knowledge/create new technology					
3.3	Are the identified problems real and based on proper data					
Subtotal (out of 15)						
4	Objectives					
4.1	Do the objectives of the sub-thematic research parts comply with the corresponding subtitles?					
4.2	Does the objectives call urgency					
4.3	Does the objectives address the pressing needs of the local					

	community						
	Subtotal (out of 15)						
5	Description of the action and its effectiveness including cost breakdown						
5.1	Feasibility of the study (in terms of cost, legal, political, time frame, etc)						
5.2	The cost breakdown is justified and appropriate						
	Subtotal (out of 10)						
6	Outputs						
6.1	Possible number and type of publications suggested						
6.2	Possible number and type of publications suggested are realistic						
6.3	Other dissemination plans such as conferences are properly planned						
	Subtotal (out of 15)						
7	Outcomes						
7.1	Do the suggested outcomes (deliverables) meet the requirements of the title in producing sufficient knowledge and usable technologies for end-users?						
7.2	How strongly are the outcomes in favor of usable technologies?						
7.3	How strongly are the outcomes in favor of knowledge production?						
7.4	Are there specific concepts or titles stated on which MSC/MA/PhD candidates can work on?						
7.5	Is the suggested number of MSc/MA/PhD candidates adequate?						
7.6	How strongly are the outcomes in favor of contribution to the development of capacity for research/teaching?						
	Subtotal (out of 30)						
8	Beneficiaries						
8.1	Are the appropriate beneficiaries stated that could make use of the research outcomes?						
	Subtotal (out of 5)						
9	Economic resources						
9.1	The budget allocation is fair and appropriate to the work plan/activity						
9.2	Is there itemized break down of total project cost of the financial plan and budgetary outlay						
9.3	The budget allocation is made phase wise per year per objective						
9.4	The expenditures will contribute to the return to DU's research capacity building						
9.5	Does this research contribute to capacity building and continued growth of the university?						

9.6	Is this research economically feasible?					
	Subtotal (out of 30)					
10	Presentation					
10.1	Did the PI arrive on time for presentation					
10.2	Did the PI finished the presentation within the given time allotted					
10.3	Are the slides prepared artistically					
10.4	Does the PI address well for the raised questions, comments or suggestions?					
10.5	Is the presentation up to standard					
10.6	Coherence of ideas and organization of the presentation					
10.7	Clarity of the presentation					
	Subtotal (out of 35)					
	Total marks earned (m)					
	Max mark (nx5)					
	% (out of 100%)					

NB: You may leave some of the assessment criteria as NA if not applicable. Please use the following formula to report the result out of 100%

$$\% = \frac{m}{n \times 5} \times 100, \text{ where } m \text{ is the total marks earned and } n \text{ is number of assessment criteria considered}$$

What is your overall impression of the general direction of thematic research and the proposals submitted to you?

Any other comments:

Please show your decision by putting a tick (✓):

1. I recommend this proposal for further consideration ()
2. I recommend this proposal for further consideration with major revisions ()
3. I do not recommend this proposal for further consideration as a research proposal ()

(a) Names and (b) signature of assessors with (c) dates

Name _____ Signature _____ Date _____

(This information will be kept confidential)

Annex 7. Format for Progress report

1. Code and title of the project:
2. Project management /Organization/ co-ordination/colleges/institutes:
 - a. Name of principal investigator/project coordinator (Department, Colleges/institutes)
 - b. Research and team member (s) in the university (if any) and their specific role in the research project:
 - c. Other partner/collaborating organizations (outside DU) with addresses of contact person (s) and their role in the project:

Name Profession Department Faculty/Colleges/institutes Specific role e-mail

3. Project duration and period: From _____ to _____
4. Reporting period: From _____ to _____
5. Funding: total _____ fund for the reporting period _____
 - a. Source of funding _____
 - b. Amount (In phases if any)
6. Fund utilized: indicate the amount of money utilized for the reporting period

Period covered ----- To -----						
Sr. No	Items	Amount brought forward ¹	Additional Received for this period ²	Total fund in this period ³	Fund expended ⁴	Balance ⁵
1	Expendable items					
2	Equipment					
3	Literature and stationery					
4	Local travel and communication					
5	Per diem					
6	Personnel exp					
7	Other expenses (specify if any)					

1. Amount in Birr which was brought forward if the project is on-going
2. The break down should be as shown in the budget approved for the reporting period and it is a fund came in this period

3. This amount is the sum of the amounts in the third and fourth columns
4. Fund expended is the fund in column five less the expense stated in column six
5. The balance should reconcile with approved budget. If there is over expenditure, there has to be a clear justification.

6. Overview of the Project

7. Objectives of the project

a. General objective

b. Specific objectives:

8. Work plan used for the current reporting period (state briefly the work plan for the project until the current reporting is made).

9. **Achievements/progress:** Indicate also which objectives have been addressed: Project output description (give the highlights of the work done during the reporting period): Include detailed summaries of the work carried out and results obtained to permit informed critical scientific assessments of the work by the respective committee and peer reviewers. If possible the results could be presented in **tabular** or **graph** form. Summaries should be complete in themselves as brief as possible; consistent with clarity (a maximum of two pages is required). Interpret new findings (both positive and negative) in terms of the objective of the project and state if they are expected to increase (or decrease) the duration, total costs and/or the likelihood of the success of the project.

10. **Problems encountered** (state any major problems encountered while conducting the research): Describe advances and/or problems encountered towards the completion of the plan of work for this reporting period.

11. Measures to be taken:

12. Summary of scientific results obtained

a. Publications in international scientific journals, local journals and congress proceedings

b. List submitted, accepted, in press, and published papers, leaflets, proceedings, books please attach full papers

c. Presentation in conferences/seminars

d. Any special contribution of the project

e. Training and extension

f. Development activities

13. **Work plan** (description of the work plan for the next period, including the research time table):

14. **Financial expenditure** (detailed expenditure for the upcoming research period)

15. **Additional remarks:** attach if there are publications such as manuals produced, indicate if there was a training and extension activity

Annex 8. Guideline for reviewing progress report

A. General evaluation

Editorial quality

Layout

Length

Quality of references

Comment -----

B. Administration information

1. Project title and code

2. Principal investigator and co-investigators and colleges/institutes/department

3. Project duration and period and Reporting period (Phase)

4. Sources of fund and amount in each phase

4.1 Technical

1. The extent of the objectives achieved as per the project document

Comments:

2. Method used: Is the research methodology for this report sufficiently described?

Comments;

3. **Work plan:** Is the work plan achieved as per the research document? Comments;

4. Results: Are the results well described and explained? Comments;

5. Scientific results (Publications, seminars, workshops, training): Are the scientific results sufficient in line with the plan? Comments:

6. The work plan: Is the future plan realistic and achievable? Comments

7. Fund utilization: Is the fund utilized as per the previous plan? Comments;

1. Recommendations:

Do you believe that the work is progressing satisfactorily? Yes/No, Please provide justifications for your decision_____

Do you recommend release of planned budget for the next phase of the work? Yes/No

8. General Recommendations (please tick appropriate as (✓))

Accept the report without change ()

Accept the report with minor change ()

Accept the report with major revision ()

Not accepted, that needs re-writing ()

9. Reasons for the recommendation ()

1. -----

2. -----

Reviewer----- Signatures -----Date -----

Annex 9. Guidelines for writing Final version of the Papers

Instructions for Typesetting Final Papers Using MsWord

The complete report should consist of the following major sections in the given order and subsections as deemed necessary:

Title, List of authors (investigators), Affiliations, Abstract, Introduction, Materials and Methods, Results and Discussion, Conclusions, Acknowledgements, References, appendixes and supplementary materials and data used.

Table of contents

Acronyms

List of figures

List of Tables

Title (try not to use more than 2 lines. Typeset the title in 12 pt Times Roman; capitalize each important word and boldface. (E.g **A Biosensor for Monitoring Food Allergen**)

List of authors (Name Father Name Surname, use comma to separate authors, without abbreviations for first and co-authors), use *to indicate the corresponding author.

Affiliations (State completely without abbreviations, the affiliation Typeset in 12 pt Times New Roman)

Abstract

The abstract should summarize the key findings and conclusions of the paper in less than 500 words. Please indicate the objectives, key methodology, key findings, and added values. It should not contain any references or equations. Typeset the abstract in 10 pt Times Roman. 1.0 line spacing

Keywords: Keyword1; keyword. (3-6 keywords)Typeset in 12 pt Times New Roman, bold face, italics.

1. Introduction and Background

Introduce the subject (in a way that catches the attention of the reader); state the significance (scientific, economic, technological, and social) of the study. Provide **state of the art/knowledge and indicate the research gap to fill** (Provide a general presentation and analysis of the problem based on sufficient and recent references).

2. Statement of the problem

3. Objectives of the study

General and Specific

4. Materials and Methods or just Methodology (as appropriate)

Please provide subsections (use boldface, do not number subsection headings), see example subsections below:

Materials (including reagents, chemicals)

Fabrication

Characterization

5. Results and Discussion

Please provide a headed discussion (use boldface for subsection headings, do not number subsection headings)

6. Conclusions and recommendations

Please summarize, in not more than 3 sentences the key findings, and draw conclusions from the findings. Please try to be as specific as possible! (**Max. 200 words**).

5. Acknowledgements

Please acknowledge individuals who have made most important contributions only, i.e. in experimentation, and in explanations. Do not forget to acknowledge the funding organization(s)!

6. References

Please use the style of

- (a) ACS journals, e.g. Journal of Analytical Chemistry (Science/technology)
 - (b) Harvard system (social sciences)
7. Appendixes and supplementary materials and data used

Annex 12. The review form for Final Paper (to be filled by the members of the REB)

1. General comments (comments on: the worth of the Knowledge /technology package/generated, sufficiency of information generated, and conclusion drawn).
2. Comments on the content and organization of the report (this refers to the report format, editorial quality, layout, length, adherence to fonts, line spacing, margin, etc)
3. Comment on the abstract: Does the abstract adequately summarize the report?
- 4) Comments on the introduction and objective section: Does the introduction sufficiently detailed for this form of research? Are the research objectives clear and do they reflect what has been achieved in the research?
5. Comments on the methods section: Is the research method sufficiently described and are the experimental details well described and can they be repeated?
6. Comments on the results section: Are the results well presented? (Do they show the findings clearly?)
7. Comments on the discussion section: Is the discussion of the results accurate, scientific and exhaustive?
8. Conclusions and recommendations: Are the conclusions and recommendations relevant and consistent with the analyses? Do the conclusions match with objectives and recommendations with findings?
9. Comments on the references: Are the references relevant, exhaustive and up-to date, and based on the suggested referencing styles?

10. Comments on the project plan vis-á -vis implementation and budget utilization?
11. Any additional comments
12. The reviewer should show his comment in the following rates as justified from the comments at each section
 - i. Accept without modification
 - ii. Accept with minor modification as per the comments
 - iii. Accept with major modification as per the comments
 - iv. Reject the report- to be done again as per the comments

Note: This guide line is subject to modifications if need be.

