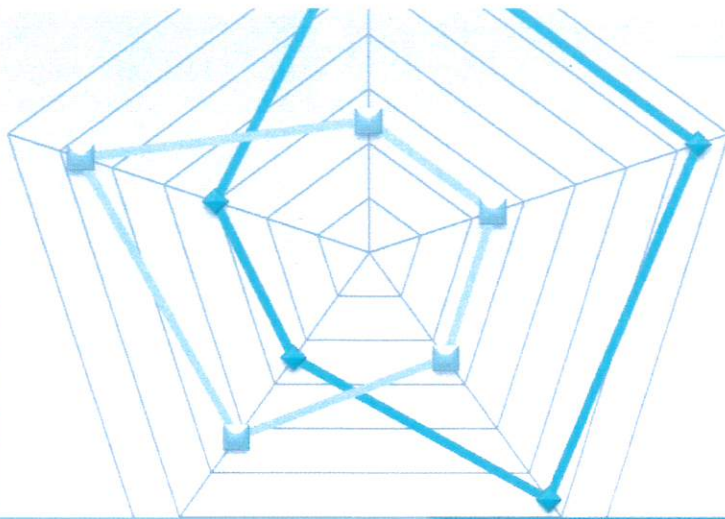




Research Guideline of Arba Minch University

Research Guideline of Arba Minch University

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Series 2



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AMU



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Acronyms

AMU	Arba Minch University
CI	Co-Investigator
CED	Community Engagement Directorate
EB	Editorial Board
ETB	Ethiopian Birr
ERD	Executive Research Directorate
IREB	Institutional Research Ethics Board
GO	Governmental Organization
MoU	Memorandum of Understanding
NGO	Non-Governmental Organization
GCPMD	Grant and Collaborative Project Management Director
PDDD	Publication, Documentation, Dissemination Director
PG	Post Graduate
PI	Principal Investigator
RCs	Research Centers
RCOs	Research Coordination Offices
RDC	Research and Development Council
RC	Research Center
RUs	Research Units
VPRCs	Vice President for Research and Community Engagements



Definition of key terms

Academic Staff: means a member of the institution employed in the capacity of teaching, research and Community Engagement, technology transfer and any other professional of the institution who shall be recognized so by senate statutes.

Collaborative Research: It is a research project funded by external bodies (NGOs, GOs, donors, Associations, foreign academic institutes, etc.) and hosted by Arba Minch University.

Comprehensive Grand Research: This project covers from baseline study to intervention involving researchers from different disciplines working on one project for three to five years.

Joint Research: It is a research project jointly funded by both the university and external bodies (NGOs, GOs, donors, Associations, foreign academic institutes, local universities, industries, sector offices, etc.) and managed by Arba Minch University.

Multidisciplinary Research: a kind of research that involves at least three disciplines in the research process.

Multidisciplinary Grand Research: This project involves a study that addresses a research agenda from the perspectives of different disciplines with inclusion of at least three sub themes.

Research Staff: means members of an institution employed in the 25% capacity of teaching and 60% research and 15% Community Engagement and any other professional of the institution who shall be recognized so by senate statutes.

Senior staff: is a research/teaching staff with the highest rank and or experience among staff members he/she is counted with.

Small Scale: This refers to research projects which can be initiated by a minimum of two research/teaching staffs that should be completed in one budget year.

Teaching staff: means members of an institution employed in the 60% capacity of teaching and 25% research and 15% Community Engagement and any other professional of the institution who shall be recognized so by senate statutes.

Thematic areas: These are research priorities identified by the university together with relevant stakeholders to direct focuses of the university research.

Validation Workshop: A kind of workshop to be held at the end of a research project at the research site or a common place to the research sites that involves the respective research coordinator/director, two reviewers, and relevant sector offices and data providers/informants.



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Preface

Higher education institutions in Ethiopia are expected to be at the forefront of the development and transformation efforts of the country. They have the responsibility to make multidimensional contributions to the achievements of the nation through research and innovation. As research and innovations are processes that pass through a number of procedures and involves teams that work together, there is a need for publishing set of rules and regulations that guide the tasks and procedures. This shall insure effective institutional functioning. Though the University used to have its own research guideline, a number of changes were observed which the previous guideline cannot cover. Thus, the Vice President for Community Engagement and Research has initiated revised guideline. Recognizing the worth of maintaining the standards of this guideline, the document has been designed by consulting similar other bylaws and policies of the country.

Finally, on behalf of the Vice President for Research and Community Engagement and myself I would like to express my whole hearted acknowledgment to the Academic Staff Members and the university community as a whole who either directly or indirectly contributed to the development of this guideline. The ad-hoc committee members and reviewers ought to have a special mention here for their remarkable contributions put into the preparation of the draft document.

I hereby forward, this guideline which is named “*Research Guideline of Arba Minch University, revised January, 2022.*” as a guiding rule to all research matters of the university.



1. Introduction

In Ethiopian Higher Education, research has a long history of practice but its impact on societal development and economic growth in the country seem to be very slow. As a result, Ethiopia has recently decided to differentiate its universities. Arba Minch University is among the differentiated eight research universities of the 45 government universities. This has created an opportunity for the university to re-gear and reforms its research endeavors.

Currently, the university runs eight different schemes of research projects largely funded by the university and collaborating organizations with a variation in the range of funds. These schemes are named multidisciplinary grand project, comprehensive grand project, special female research project, small scale research projects, small grants for young researchers' project, a seed fund for grantable research projects, collaborative research project, and joint research projects.

To help readers follow this guideline each type is briefly described here. The Comprehensive Grand Research Projects cover from baseline study to intervention which should be multidisciplinary involving different professionals from different disciplines in the University and external stakeholders with the aim of solving national, regional, industrial, or community problems from the perspectives of different disciplines. Multidisciplinary Grand Research Project, on the other hand, involves different professionals from different disciplines but may not include intervention. This project is supposed to inform policy decisions or may result in follow-up interventions. The special female research project applies to only female teaching/research staff that should be initiated and executed by two or more female researchers. The other type of project is small-scale research projects that apply to research projects to be initiated by a minimum of two research/teaching staff and are completed in one year as of the commencement of the research. The Small grants for young researchers are meant for teaching staff with a rank of graduate assistant, assistant lecturer or for research staff of equivalent rank and competitively selected self-sponsored master students. The other type of scheme is the Seed fund for grantable research projects. It is meant to cover expenses for preliminary data collection for writing grantable research projects. The collaborative research project is a project type granted by external bodies (NGOs, GOs, donors, Associations, foreign academic institutes, etc.) and hosted by Arba Minch University. The other project type is the joint research project, which is meant to be jointly funded by both the university and external bodies (NGOs, GOs, donors, Associations, foreign academic institutes, local universities, industries, sector offices, etc.) and managed by and hosted at AMU.

Therefore, guiding all these research projects requires a meticulously written working guideline. Hence, this research guideline is carefully worked out to determine procedures and financial administrations of all research projects at Arba Minch University.



2. Organizational Structure of the Research at Arba Minch University

The research core process of AMU has the following organizational units.

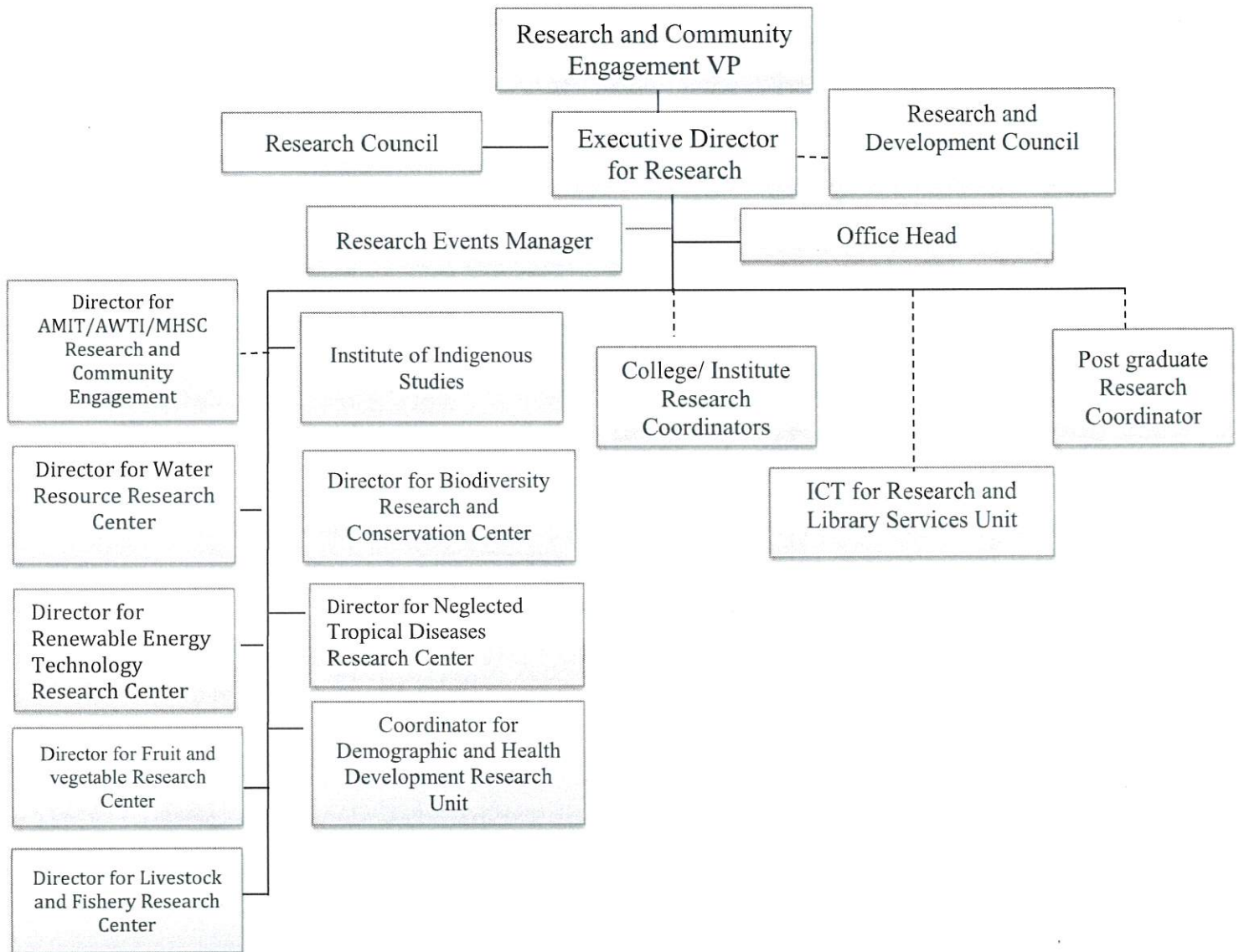


Figure 1: Organizational structure of the Executive Research Directorate

2.1. Accountabilities, Duties and Responsibilities of different functional units

2.1.1. Office of the Vice President for Research and Community Engagement

Accountability: The Vice President for Research and Community Engagement is accountable to the president

Duties and responsibilities: The Vice President for Research and Community Engagement shall have the following duties and responsibilities:



- i. Supervises the overall processes of research at the University,
- ii. Ensures proper formulation and implementation of strategic plans, policies, guidelines and procedures related to research,
- iii. Ensures the establishment of network of active mutually beneficial partnership with other higher learning and research institutions, GOs and NGOs as well as international organizations,
- iv. Encourages and provides leadership to development and adaptation of appropriate technologies to significantly improve the livelihood of the community at large,
- v. Ensures that the research undertakings at the university are demand driven and problem solving,
- vi. Ensures that strategic approach to research endeavors, efficient research administration and effective dissemination of research outputs are in place,
- vii. Directs, and supervises the implementation of project and cooperation agreements,
- viii. Plans and requests budget for research; allocates the same to colleges/institutes/centers,
- ix. Identifies areas of excellence in research that have national importance,
- x. Develops public relation strategies to advertise, promote and enhance research capabilities,
- xi. Oversees collaborative research projects
- xii. Examines reports submitted by the directors on the application of different sources of income for their intended purposes and approves it,
- xiii. Performs any other duties as may be required by the President.

2.1.2. Executive Director for Research Directorate

Accountability: The Executive Director for Research Directorate is accountable to Vice President for Research and Community Engagement

Duties and responsibilities: The Executive Director for Research Directorate shall have the following duties and responsibilities:

- i. Ensures proper implementation and administration of research and project funds,
- ii. Plans, organizes, and leads colleges'/institutes'/centers' research activities,
- iii. Develops, recommends and implements policies and administrative procedures for college/institute/centers' research activities,
- iv. Monitors the proper implementation of policies, rules and regulations for college/institute/centers research activities,



- v. Ensures the establishment of research work stations and supervises their activities
- vi. Ensures and supervises the establishment of panel of experts for external funds/grants,
- vii. Facilitates the development of interdisciplinary research programs in consultation with colleges/institutes/centers/units concerned,
- viii. Coordinates internal and external assistance for research projects and allocates resources in consultation with the concerned bodies,
- ix. Develops research strategic plan,
- x. Identifies, prioritizes and facilitates the implementation of researches that have national and regional importance,
- xi. Develops plans, sets priorities for establishment of research laboratories and facilities and oversees the implementation of plans,
- xii. Promotes the development of appropriate incentive schemes in the university for researchers,
- xiii. Evaluates existing research capacity and identifies gaps and priority areas for capacity building,
- xiv. Follows up the formulation of the research coordination structure of the University,
- xv. Monitors implementation of plans for research capacity building,
- xvi. Leads the identification of research thematic areas in consultation with concerned bodies,
- xvii. Coordinates, registers, monitors and follows up colleges/institutes/centers research and related activities,
- xviii. Prepares periodic reports on research activities in all colleges and institutes,
- xix. Prepares and Disseminates college/institute research outputs,
- xx. Facilitates the publication of university-based books, journals, newsletters, proceedings, abstracts,
- xxi. Supports PhD and selected self-sponsored MA/M.Sc. researches from each program,
- xxii. Link PhD and MA/M.Sc. thematic researches with grants and external funding,
- xxiii. Charters duties and responsibilities to coordination offices under its auspices,
- xxiv. Ensures the organization of annual research symposia, seminars and conferences,
- xxv. Ensures the linkage of completed research outputs with UILTT/ CS Directorates,
- xxvi. Oversees workload, incentives and recognitions for researchers are provided according to this guideline.



- xxvii. Oversees breaches and misconducts are addressed based on the guideline.
- xxviii. Performs other related duties provided by the Vice President for Research and Community Engagement.

2.1.3. Publication, Dissemination and Documentation Directorate (PDDD)

Accountability: Publication, Dissemination and Documentation Directorate shall be accountable to the Vice President for Research and Community Engagement

Duties and Responsibilities: The Publication, Dissemination and Documentation Directorate shall have the following duties and responsibilities:

- i. Ensures that completed research results are communicated to the university community, the wider community, the funding organization and stakeholders through all possible means of communication: posters, leaflets, refereed journals, workshops, conferences/symposia, seminars,
- ii. Ensures that published research results are made available to potential users in the university's libraries, website, research database and distribution of hardcopies to the offices of concerned stakeholders,
- iii. Encourages the researchers to disseminate the research findings to the concerned stakeholders, in national and international workshops, symposia and so on,
- iv. Encourages the publication of research findings in national and international reputable journals and acknowledges researchers in the university website, notice boards and billboards for their contributions through publication and dissemination,
- v. Documents research outputs, articles, books, proceedings, abstracts and newsletters published by Arba Minch University and the University staffs,
- vi. Facilitates the publication of university-based journals and newsletters,
- vii. Provides incentives for research outputs published in reputable journals,
- viii. Supervises the regularity of journal publications and facilitates journal accreditation process,
- ix. Evaluates the performance of journal and ethical board members,
- x. Prepares roles and responsibilities of editorial board members of AMU journals,
- xi. Assigns editorial board members based on competition,
- xii. Performs other related duties provided by the Vice President.



2.1.4. Grant and Collaborative Project Management Director (GCPMD)

Accountability: GCPMD shall be accountable to the Vice President for research and community engagement
Duties and Responsibilities

- i. Plans and monitors Grant and Collaborative Project Activities,
- ii. Encourages staff to write grant proposals through all possible media,
- iii. Identifies potential grant and collaborative project proposal writers from staff members,
- iv. Creates links with local institutions (Universities and Research Institutes) known for winning projects and establish partnership for joint collaborative projects,
- v. Facilitates trainings for grant searching for staff members,
- vi. Establishes panel of experts for searching and writing collaborative research project proposals,
- vii. Lobbies funding agencies (embassies, NGOs, GOs, Associations, industries, foreign academic institutions etc.),
- viii. Searches for sources of funding and calls for grants from links and websites and announces this to the staff through all means,
- ix. Evaluates the progress of existing collaborative and joint projects and recommends for adjustments to the project owning office,
- x. Sorts projects into research and development and connect to the appropriate offices,
- xi. Registers and sends collaborative and joint projects to the appropriate offices for coding,
- xii. Allocates and manages seed funds for collaborative proposals,
- xiii. Prepares Grant and Collaborative Project Management guideline,
- xiv. Facilitates logistics for project implementation,
- xv. Produces annual collaborative project booklet,
- xvi. Establishes donor-recipient forum and holds annual stakeholder meetings (project review workshop) to review progress and acknowledge granters,
- xvii. Keeps the history (institutional memory) of collaborative projects on the university website,
- xviii. Facilitates the signatory processes of collaborative projects and makes sure the 10% overhead cost of collaborative projects is included in the proposals,
- xix. Reports the performance of collaborative projects quarterly,



xx. Performs other related duties provided by the Vice President.

2.1.5. Directors for Research and Community Engagement

Accountability: Directors for Research and Community Engagement are accountable to the respective institute/college director/dean.

Duties and Responsibilities: Directors for Research and Community Engagement shall have the following duties and responsibilities along with others stipulated in their respective establishment guidelines.

- i. Ensure proper implementation and administration of research and project funds
- ii. Plan, organizes, facilitates, manages and monitors the activities of the center/ institute
- iii. Prepare research policies and procedures relevant to the center/institute and lead the implementation upon approval by research and development standing committee of the senate,
- iv. Establishes panel of experts for external funds/grants
- v. Lead the administration of research staff, research stations and their facilities ,
- vi. Provide strategic and operational recommendations to promote the research activities in their specialized areas of the center/institute,
- vii. Identify, promote and lead the development of interdisciplinary research activities in consultation with the concerned offices,
- viii. Identify priority research areas and sources of funding for their respective center,
- ix. Develop plans to enhance the research capacities of the center,
- x. Identify research thematic areas in consultation with key-stakeholders,
- xi. Coordinate, monitor and provide support to teaching and research staffs in their research activities,
- xii. Organize national and regional forums for dissemination of research results in collaboration with publication, documentation and dissemination directorate,
- xiii. Initiate the establishment and facilitates the publication of journals and newsletters in the specialized areas of the center/institute,
- xiv. Prepare and submit periodic plans and reports on research activities of the center,
- xv. Facilitate validation workshops of completed research at research sites,
- xvi. Update data using the university Research Data Base regularly,
- xvii. Make sure workload, incentives and recognitions for researchers are provided according to this guideline.
- xviii. Make sure breaches and misconducts are addressed based on the guideline,
- xix. Performs other related duties provided by the respective director/dean.

2.1.6. Directors for Research Centers (RC), Institutes (RI)

Accountability: Directors of research centers and institutes are accountable to the executive research director.



Duties and Responsibilities: Directors of research centers and institutes shall have the following duties and responsibilities along with others stipulated in their respective establishment guidelines.

- i. Ensure proper implementation and administration of research and project funds
- ii. Plan, organizes, facilitates, manages and monitors the activities of the center/ institute
- iii. Prepare research policies and procedures relevant to the center/institute and lead the implementation upon approval by research and development standing committee of the senate,
- iv. Establishes panel of experts for external funds/grants
- v. Lead the administration of research staff, research stations and their facilities ,
- vi. Provide strategic and operational recommendations to promote the research activities in their specialized areas of the center/institute,
- vii. Identify, promote and lead the development of interdisciplinary research activities in consultation with the concerned offices,
- viii. Identify priority research areas and sources of funding for their respective center,
- ix. Develop plans to enhance the research capacities of the center,
- x. Identify research thematic areas in consultation with key-stakeholders,
- xi. Coordinate, monitor and provide support to teaching and research staffs in their research activities,
- xii. Organize national and regional forums for dissemination of research results in collaboration with publication, documentation and dissemination directorate,
- xiii. Initiate the establishment and facilitates the publication of journals and newsletters in the specialized areas of the center/institute,
- xiv. Prepare and submit periodic plans and reports on research activities of the center,
- xv. Facilitate validation workshops of completed research at research sites,
- xvi. Update data using the university Research Data Base regularly,
- xvii. Make sure workload, incentives and recognitions for researchers are provided according to this guideline.
- xviii. Make sure breaches and misconducts are addressed based on the guideline,
- xix. Performs other related duties provided by the Executive Research Director.

2.1.7. Coordinators for Research Units (RUs)

Accountability: coordinators of research units shall be accountable to the executive research director.

Duties and Responsibilities: the coordinator shall have the following duties and responsibilities:

- i. Identifies, lead and coordinate researches on specialized areas of the unit,
- ii. facilitates research activities of the unit,
- iii. Facilitates research and research collaborations,
- iv. Disseminates research results through conferences, workshops, demonstration, publication,



- v. Solicits additional research funds from external sources,
- vi. Coordinates the formulation of multidisciplinary & participatory proposals,
- vii. Maintains proper documentation of research projects, results and outputs,
- viii. Makes sure workload, incentives and recognitions for researchers are provided according to this guideline.
- ix. Makes sure breaches and misconducts are addressed based on the guideline.
- x. Performs other related duties provided by the Executive Research Director/Center director.

2.1.8. College/Institute/ Campus/ Research/School Coordinators

Accountability: College/Institute/ Campus/ Research coordinator shall be accountable to the college/institute dean/scientific director.

Duties and Responsibilities: College/Institute/ Campus/ Research Coordinator shall have the following duties and responsibilities:

- i. Ensures proper implementation and administration of research and project funds,
- ii. Plans, organizes, facilitates, manages, monitors and reports the research activities of the college/institute/campus
- iii. Prepares research themes and procedures relevant to the college/institute/campus and implements upon approval by the research and development standing committee of the senate,
- iv. Provides strategic and operational recommendations to promote the research activities in their college /institute,
- v. Identifies, promotes and leads the development of interdisciplinary research programs activities in consultation with the respective departments/bodies,
- vi. Identifies research priority areas,
- vii. Establishes panel of experts that search for external sources of funding/grants,
- viii. Facilitates regular seminars and panel discussions,
- ix. Establishes research work stations in the college/campus/institute,
- x. Supervises the activities of and allocates resources for research coordinators,
- xi. Identifies research thematic areas in consultation with key-stakeholders,
- xii. Links completed research outputs to the University Industry Linkage and Technology Transfer and/ or Community Engagement Directorates,
- xiii. Supervises the performance of validation workshops of completed research at research sites,
- xiv. Update data using the university Research Data Base regularly,
- xv. Makes sure workload, incentives and recognitions for researchers are provided according to this guideline,
- xvi. Makes sure breaches and misconducts are addressed based on the guideline,



xvii. Performs other related duties provided by their line manager.

3. Committees and Councils

3.1. *Research and Development Council (RDC)*

RDC members include Vice President for research and Community Engagements (Chairperson), Executive Research Director (Secretary), deans/directors, research director, research center directors, research coordinators, Community Engagement director and coordinators, UILL TT director and coordinators and two senior staff of AMU selected by the Senate.

Research and Community Engagement Council shall have the following duties and responsibilities:

- i. Formulates policies, guidelines and strategies that foster research, community engagement and UILTT activities of the University in line with national research priorities and development of science and technology. In the process, the committee may involve concerned resource persons,
- ii. Oversees coordination of research, community Engagement and UILTT activities
- iii. Lays down policies and procedures for visiting research scholars from other universities/research institutions who seek formal collaboration,
- iv. Lays down policies for allocating funds for research, publication and preparation of relevant teaching materials,
- v. Establishes and provides guidelines for ad-hoc technical committees which screen specific or area specialized projects when deemed necessary,
- vi. Suggests feasible options, including incentive mechanisms that encourage teaching and research staff members to undertake researches and to prepare teaching materials,
- vii. Reviews and recommends to the senate the establishment and termination of research stations,
- viii. Ensures that certain minimum standards are maintained by all publications of the University,
- ix. Determines its rules of procedures within the framework of the senate legislation,
- x. Develops dispute resolution guideline that arises on research themes, resource allocation and other matters related to research, community Engagements and UILTT activities.

3.2. *Research Council*

The Council consists of center/institute/college directors and school/unit coordinators and it shall be chaired by the executive research director and the secretary shall be nominated by the council.

Duties and Responsibilities: The council shall have the following duties and responsibilities

- i. Checks the alignment of proposed research projects to the University research priority areas,
- ii. Ensures that the proposed researches are not redundant across colleges/institutes, schools and units,
- iii. Recommends merging or cancellation of proposed researches when they are found redundant,
- iv. Suggests up scaling of proposed researches to grand projects when necessary,



- v. Evaluates the appropriateness of budgets allocated to proposed researches in reference to the guideline,
- vi. Resolves disputes that arise in research evaluation process,
- vii. Attends defenses and collects ideas for latter evaluation,
- viii. Evaluates grand research proposals out of 15%,
- ix. Refers issues that require the attention of RDC.

3.3. Institute/College/Center/Campus/School Research Review Committee (I/C/SRRC)

The institute/college/center/school research review committee is chaired by the respective institute/college/center/campus/school director or coordinator. The committee shall consist of a minimum of five (5) members selected by the respective director/coordinator. This should consider the relevant chairpersons of the department RPC.

- i. Pre-reviews and decides if the proposed researches within the colleges/institutes, schools and units need to be sent to reviewers (**Annex 2**),
- ii. Assesses scientific quality and originality of the proposed researches together with the research offices,
- iii. Recommends for merging, splitting or cancellation of proposed researches,
- iv. Suggests up scaling of proposed researches to grand projects when necessary,
- v. Attends defenses and collects ideas for latter evaluation,
- vi. Evaluates research proposals out of 15%,
- vii. Evaluates the appropriateness of budgets allocated to proposed researches in reference to the guideline.

3.4. Department/faculty Research and Development Committee (DRDC)

Each department/faculty shall have its own department/faculty research and publication committee.

- i. Department/faculty Research and Development Committee (F/DRDC) shall review and endorse research proposal of a teaching/research staff member.
- ii. Academic staff members carrying out research without the need for financial support shall notify their department of such activities.
- iii. Proposal reviewed and endorsed by the F/DRDC shall need to be approved by the College/Institute Research and Development Committee (C/IRDC).

4. Ethics and Editorial Boards

The university shall have two boards. The editorial boards of the journals of the university and the



Institutional Research Ethics Boards. These shall be accountable to the PDDD. The Institutional Research Ethics Boards shall have Regular and alternate Research Ethics Board Members. The members of the boards and their roles and responsibilities shall be determined by separate guidelines to be worked out for the purposes.

5. Researcher/Teaching Staff duties and Responsibilities

A researcher/teaching staff has the following duties and responsibilities in relation to research activities:

- i. Writes research proposals and submits as per the schedule,
- ii. Presents and defends his research proposal and improves after reviewers' comment,
- iii. Conduct the research according to the approved proposal,
- iv. Submits progress reports timely and presents on regular report seminars,
- v. Presents the research status on annual research review workshops,
- vi. Publishes and presents the research output on national and international symposiums,
- vii. Presents legal documents for all financial expenditures, and settle it on time,
- viii. Presents research data when required by the respective directorate or coordination office,
- ix. Plays active role in the initiation, planning, and development of collaborative research projects,
- x. Submits final research document to research offices and the funding agencies,
- xi. Co-operates in maintaining research databases,
- xii. Administers project funds and properties in compliance with grant agreements,
- xiii. Makes progress and terminal technical and financial reports,
- xiv. Presents his/her research findings to the stakeholders in the form of validation workshop,
- xv. Accepts assignments related with research activities including engagement in peer review of research proposals, research progress reports, abstracts for symposia, final research reports, manuscript review, etc.
- xvi. Ensures that published research results are made available to potential users in the university's libraries, website, and research database and that hard copies are distributed to the offices of concerned stakeholders through the facilitation of the Office of PDDD.

6. The Research Process of AMU

6.1. Prioritizing the Research Thematic Areas

Research thematic areas shall be revised in line with the needs of the country, regional development goals; comparative advantages and the strategic plan of the University; and new research demands of the



industry and the community by the approval of the RDC. It is essential that the themes be further broken down into sub-themes. The revision of themes can be initiated by research directors or coordinators of the respective college/institute/center/school/unit and the request shall be submitted to the executive research director. The executive research director in consultation with the vice president shall evaluate the request and establishes a thematic revision committee consisting of professionals in the area and submits the proposed revision to the RDC for approval.

6.2. Research Proposal Initiation and Submission

6.2.1. Proposal Initiation

- i. Research/ teaching staffs can initiate research based on the identified AMU research thematic areas. Any PhD student attending his/her education at AMU is also entitled to initiate and work as a PI for one small scale or special female research project arising from one or two of the objectives of the dissertation during his/her study time.
- ii. Apart from these, industries, community, government and any funding agency may initiate research projects that shall be conducted in collaboration with the university,
- iii. The research proposal should be in line with AMU's research thematic areas,
- iv. A Research proposal shall be initiated/ written by a minimum of two teaching/research staff members.
- v. A teaching staff shall be a principal investigator (PI) for a maximum of two and co-investigators (CI) for not more than three AMU funded research projects in a year. However, a senior teaching staff may be allowed to be a PI for three and CI for four AMU funded research projects depending on the timely completion of the research projects at hand,
- vi. A research staff can be PI for three active research projects and CI for three active research projects in a year. However, a research staff can be allowed to work on one more research project as PI or a CI depending on the timely completion of the research projects at hand,
- vii. Staffs are encouraged to initiate/compete a number of extramural funded research projects,
- viii. Proposal writers should follow the research submission format of the university/external funding organization. If the research funding organization does not have a format, the researcher should use the format of the university (**Annex 1**).

6.2.2. Proposal Submission

- i. Call for Special Female, Small Scale and Young Research (from GA to Assistant Lecturer) proposals shall be announced by the college/institute RCO's/research centers/units once a year



- (beginning of the fiscal year) using all possible communication channels: posting on university notice board, intranet, and electronic billboard etc.,
- ii. Research proposals shall be written and submitted to the RCOs/research centers/units using the university format specified in this guideline (**Annex 1**) in 3 printed copies and a softcopy,
 - iii. Proposals of research projects funded by external organizations should be submitted using the format of the funding organization. If the funding organization does not have a format, the researcher should use the format of the university.
 - iv. Directors and coordination offices should ensure the fact that the submitted proposals are in line with the University's research themes,
 - v. Proposal submission should respect the deadlines announced. No proposal shall be accepted after the submission deadline is over,
 - vi. AMU funded proposals should be submitted to the respective coordination offices based upon the call whereas externally funded/sponsored research projects shall be directly submitted to the research directorate office of the University in accordance with call for proposals from/in collaboration with the donors.

6.3. Proposal Review and Approval

- i. The RCOs, RUs and RCs in consultation with departments shall assign a minimum of two peer reviewers for the submitted proposals/research projects,
- ii. The RCOs, RUs and RCs are advised to make the review process a blind peer review,
- iii. The peer reviewers shall complete their review in two-weeks-time after the reception of the proposal,
- iv. The reviewers shall submit their evaluations in written form using the format provided in **Annex 3**.
- v. Once the RCO's and RC's have obtained the review report, open defense shall be organized at the college level,
- vi. The PI and CI should present their work in front of the reviewers and the college staffs and take constructive comments,
- vii. Appropriate evaluation format shall be provided and the discussions, comments and decisions during the defense process shall be documented,
- viii. The PI and CI should revise the proposal based on the comments given by the



- reviewers during an open defense and submit the final proposal to the RCO's and RC's within two weeks,
- ix. The respective reviewers shall check and approve whether the comments provided during the review processes are well incorporated and provide the overall evaluation of the proposal,
 - x. The recommended proposals for acceptance shall be submitted by the RCOs to ERD,
 - xi. The review and management of multi-disciplinary projects that involve more than one college shall be the responsibility of the hosting college/Institute/Center/Unit. The second round review of the grand project is a responsibility of the ERD,
 - xii. Researches involving human and animal subjects should obtain ethical clearance from the University's ethical review board,
 - xiii. Ethical Board of the University shall be offering written ethical clearance to the researchers/teaching staff accordingly. The research and ethical review committee shall complete the review process in consideration of Ethical and Technical matters of the proposal (**Annex 3**),
 - xiv. The research ethical review committee may recommend modifications or may reject a research project/proposal. For a rejected proposal, the committee should provide evidence to the researcher,
 - xv. The research ethical committee shall certify the research project after checking the incorporation of the comments,
 - xvi. RDC is responsible for deciding on the approval of the already presented research projects from the respective colleges by taking into account the salient features such as ability to be problem solving, demand driven, etc.
 - xvii. Proposals selected for funding shall be evaluated and ratified by the RDC,
 - xviii. The University may not support research proposals/projects funded by external stakeholders if they are not communicated and registered through the appropriate channel.

6.4. Research Proposal Evaluation

The grading of small scale, special female, young research and first round of grand research project shall be as follows.



- i. Peer review (average of two reviewers) shall account for 60%
- ii. Evaluation by Center Director/Coordinator shall be 25%
- iii. Evaluation by the College/institute/school/center RDC shall be 15%

The grading of second round grand research projects shall also be as follows.

- i. Peer review (average of two or more reviewers) shall account for 60%
- ii. Evaluation by Executive Research Director shall be 25%
- iii. Evaluation by the directors and coordinators Council 15%

NB; The evaluation of seed fund proposals shall be made based on the criteria to be set by GCPMD.

6.5. Research Registration and Documentation

- i. Approved research projects for funding shall be publicly announced to the university community through various channels: posting on university notice board, intranet, and electronic billboard, Research database, and so on by ERD,
- ii. For research projects under all funding schemes, contract agreement shall be signed between the investigator/s, college/institute/units coordinators, college/institute deans/director and approved by the research directorate and authorized by the VPRCE (**Annex 6**),
- iii. The PI/CI shall fill researchers and reviewers profile form indicated in **Annex 21**,
- iv. Granted research projects shall be coded by the college/institute/ research unit coordination offices and research centers and shall be communicated to the ERD. The research projects should be coded and registered in accordance with the following procedures:

- **For internally Funded staff Projects the coding shall be:**

GOV/AMU/PT/TH_{no}/College/Institute/School/Center/Unit/Department/Rank/Year.

Where: GOV stands for Government funded researches; AMU stands for Arba Minch University; PT stands for project type (e.g. Comprehensive, multidisciplinary, small scale, Special female, etc.), *TH* stands for the thematic areas of Arba Minch University and *no* refers to the ⁿth thematic area among all the themes (**Annex 22**); College/Institute/School/Research Center/Unit and department refer to the college/Institute and department from which the research proposal is initiated; **Rank** indicates the numbering of initiated research projects from the respective departments; and **Year** stands for the Ethiopian budget year for which the funding is allotted.

- **For internally Funded PG students (PhD/Master/ Specialization) Projects the coding**



shall be:

GOV/AMU/PT/TH_{no}/College/Institute/School/Center/Unit/Department/Rank/Year.

Where: GOV stands for Government funded researches; AMU stands for Arba Minch University; PT stands for project type (e.g. PhD/Master/ Specialization Student project), **TH** stands for the thematic areas of Arba Minch University and **no.** refers to the ⁿth thematic area among all the themes (**Annex 22**); College/Institute/School/Research Center/Unit and department refer to the college/Institute and department from which the research proposal is initiated; **Rank** indicates the numbering of initiated research projects from the respective departments; and **Year** stands for the Ethiopian budget year for which the funding is allotted.

- **For externally funded/sponsored research projects, the coding shall be:**

EXT/ORG/TH_{no}/College/Institute/Department/Rank/Year. Where: **EXT** stands for externally funded researches; **ORG** stands for the first three letters in the name of the funding organization; **TH_{no}** stands for the already identified thematic areas of Arba Minch University and **no.** refers to the ⁿth thematic area among all the listed themes (**Annex 22**); **College/Institute and department** refer to the college/Institute and department that hosts the research project; **Rank** indicates the numbering of initiated research projects from the respective departments; and **Year** stands for the budget year for which the funding is allotted,

- **For jointly funded/sponsored research projects, the coding shall be:**

JO/AMU-ORG/TH_{no}/College/Institute/Department/Rank/Year. Where: **JO** stands for jointly funded researches; **ORG** stands for the first three letters in the name of the organization working jointly with AMU; **TH_{no}** stands for the already identified thematic areas of Arba Minch University and **no.** refers to the ⁿth thematic area among all the listed themes (**Annex 22**); **College/Institute and department** refer to the college/Institute and department that hosts the research project; **Rank** indicates the numbering of initiated research projects from the respective departments; and **Year** stands for the budget year for which the funding is allotted,

- v. All pages of the research projects shall be stamped with the official stamp of the respective RCOs or RCs,
- vi. The ERD shall issue an award letter accompanied by the signed contract agreement to PI copying the same to finance and college coordinators as a signal for the kick-off of the research project,
- vii. PI shall prepare and submit his/her/their financial request plan to the RCO's, RUs and RC's,
- viii. Based on PI's plan request, RCO's, RUs and RC's shall organize and send the researchers budget action plan to their respective college finance sub process for research execution after getting the



- approval of the relevant authority,
- ix. Research projects funded by donors shall have signed memorandum of Understanding (MoU) or Memorandum of Agreements (MoA) indicating the role of PI, the donor, and AMU; benefit sharing, equipment ownership and patenting issues,
 - x. Staffs on study leave for PhD program at AMU shall be allowed to undertake only one AMU funded research as a PI or CI not to affect the time on his PhD dissertation,
 - xi. Research offices shall document newly approved research projects into the Research Data Base.

7. Types of Research Projects Funded by Arba Minch University

7.1. Internally Funded Projects

- i. Grand projects: Comprehensive research project and Multidisciplinary research project
- ii. Special female research project
- iii. Small scale research project
- iv. Young researchers project
- v. Seed Fund

7.2. Externally/Jointly Funded Projects

- i. Collaborative research
- ii. Joint research

7.3. Grand Projects

- i. Grand projects include grand comprehensive research projects and grand multi-disciplinary research projects,
- ii. 60% of the total research budget shall be allocated to grand projects,
- iii. Priority shall be given to grand comprehensive research projects in the case of budget scarcity.
- iv. Alike collaborative projects, grand projects need to follow an international standard of proposal writing, that is, they have to follow a Theory of Change (ToC) showing the relation of the project to Sustainable Development Goals (SDGs), The National Research Agendas and University Strategic Plan. See **Annex 25** for an example diagram of ToC and pathways.
- v. **Review:** Grand Projects shall be reviewed at two stages. First, at college/institute/school level and then at center. To be evaluated at the center, the proposal under this scheme should qualify a 75% pass mark at the college/institute/school level.

7.3.1. Comprehensive Grand Research Projects

- i. This project involves grand project that covers from baseline study to intervention,
- ii. This research project shall be multidisciplinary involving different professionals from



- different disciplines in the University and external stakeholders,
- iii. This research project should solve national, regional, industrial or community problem from the perspectives of different disciplines, and it should address key national or regional agendas,
 - iv. This scheme shall be applicable to community/industry problem solving, and/or innovative and technology transfer related research projects,
 - v. Research projects focusing on AMU's areas of excellence shall be given priority,
 - vi. The maximum budget allocated for this scheme shall be 1.75 million ETB (one million and seven hundred fifty thousand birr) and the maximum project duration shall be 5 years, with possible extension of two years depending on the project nature.
 - vii. Projects under this scheme shall be initiated by research/teaching staff members,
 - viii. Under this project a minimum of five researchers should be members, of which two are senior teaching/research staffs,
 - ix. Where there is a PhD program a minimum of one PhD student and one master student should benefit from the grant. Where there is no PhD program at least two master's students should benefit from the grant. Senior researchers who initiated the project will promote the students. This cannot include PhD students who are already included in a multidisciplinary/small scale/special female research projects.
 - x. This research project may accommodate postdoctoral research fellowships,
 - xi. The research project may include at least one professional as project team member from the concerned sector office/study sites.

7.3.2 Multidisciplinary Grand Research Project

- i. This project is multidisciplinary research that involves different professionals from different disciplines. This project may inform policy decisions or follow up interventions,
- ii. This research project should address a research agenda from the perspectives of different disciplines and must include at least three sub themes and in each sub theme there should be at least two researchers
- iii. This project should address key national or regional agendas
- iv. This project shall be initiated by senior teaching/research staffs with the objective of addressing a research problem in a multidisciplinary approach,
- v. Under this project a minimum of six researchers should be members, of which one of them



should be senior teaching/research staffs,

- vi. Where there is a PhD program a minimum of one PhD student should benefit from the grant. Where there is no PhD program at least one master's students should benefit from the grant. Senior researchers who initiated the project will promote the students. This cannot include PhD students who are already included in a comprehensive/small scale/special female research projects.
- vii. This project may accommodate postdoctoral research fellowships,
- viii. Projects under this scheme shall be initiated by researchers/teaching staff members,
- ix. Research projects focusing on AMU's areas of excellence shall be given priority,
- x. The maximum budget allocated for this scheme shall be 1,000,000 ETB (one million birr) and the maximum project duration shall be 3 years, with possible extension of one year depending on the justification.
- xi. These research projects shall be based on the already identified research thematic areas of AMU,
- xii. This scheme is allowed for senior teaching/research staff members of AMU. Junior researchers shall work as co-investigators in these projects,
- xiii. The research project may include at least one professional as project team member from the concerned sector office/study sites.

7.4 Special Female Research Project

- i. Ten percent (10%) of the research budget of AMU shall be allotted to this scheme,
- ii. This scheme shall apply to only female teaching/research staffs with Master and above degree,
- iii. Research projects under this scheme should be initiated and executed by two or more female researchers.
- iv. Any Female PhD student attending her education at AMU is entitled to initiate and work as a PI for one special female research project arising from one or two of the objectives of the dissertation during her study time. This cannot include PhD students who are already included in a grand or small scale research project.
- v. A maximum budget to be granted for all female researchers under this scheme shall be up to 185,000Birr (one hundred and eighty five thousand birr).

7.5. Small Scale Research Projects



- i. Twenty percent (20%) of the research budget of AMU shall be allotted to this scheme,
- ii. This scheme shall apply to research projects which can be initiated by a minimum of two research/teaching staffs and should be completed in one fiscal year,
- iii. Any PhD student attending his/her education at AMU is entitled to initiate and work as a PI for one small scale project arising from one or two of the objectives of the dissertation during his/her study time. This cannot include PhD students who are already included in a grand or special female research project.
- iv. These research projects shall be based on the already identified research thematic areas of AMU,
- v. The maximum budget limit for a single project under this scheme shall be 175,000 ETB (one hundred and seventy-five thousand birr).

7.6. Small Grants for Young Researchers and PhD students

- i. This scheme shall apply to graduate assistants, assistant lecturers and competitively selected self-sponsored master students,
- ii. Five percent (5%) of the research budget of AMU shall be allotted to this scheme,
- iii. Master students working under the research thematic areas of AMU shall get their research fund from this scheme based on the details of their research proposal,
- iv. The basis for competition of master students shall be similar with those evaluation criteria used for other AMU funded research projects (**Annex 3**),
- v. The maximum budget to be granted for a single master student project under this scheme shall be 15,000 for social sciences and 25,000 Birr for Science and Technology disciplines,
- vi. A maximum budget to be granted for graduate assistants and assistant lecturers shall be up to 50,000 (Fifty Thousand Birr),
- vii. Arba Minch University shall provide a budgetary support for PhD students sponsored by AMU and attending their education in any of the Ethiopian Universities and conducting their research in Ethiopia. This amounts 40,000 (Forty thousand) Birr and obtained when the criteria in **Annex 23** is met.

NB: Other Financial support for PhD candidates sponsored by AMU shall be governed by MOE directives.



7.7. Seed Fund

- i.** This scheme shall apply to applicants for grants. It is meant to cover expenses and preliminary data collection for writing grants,
- ii.** Five percent (5%) of the research budget of AMU shall be allotted to this scheme,
- iii.** Funds are realized based on the details of the proposal and expenses for writing grants. This fund is realized after the plan is reviewed and approved by a panel of experts and the GCPMD.
- iv.** A maximum budget to be granted for this scheme shall be up to 50,000 (Fifty Thousand Birr).
- v.** If the grant writer wins the project, he/she will be incentivized from the project overhead cost.

7.8. Collaborative Research Project

- i.** It is a research project funded by external bodies (NGOs, GOs, donors, Associations, foreign academic institutes, etc...) and hosted by Arba Minch University,
- ii.** If the project is affiliated to a certain college/institute/center/school/unit, it shall be managed by the respective offices,
- iii.** A project proposal for collaborative project fund has to be acknowledged by the respective college/institute/center/school/unit, and certified by the Grant and Collaborative Project Management office,
- iv.** Projects certified by the Grant and Collaborative Project Management directorate shall be approved by the vice president for research and community engagement,
- v.** The project can be initiated by either of the parties,
- vi.** Every kind of request from outside the University for Collaborative Research Project shall be directed to VPRCE. The VPRCE shall direct the request to ERD for proposing research/project team members in consultation with GCPMD and concerned college/institute/center directors, research coordinators and units. Assignment of research/project team members shall be based on (but not limited to): relevance of profession, grant writing and research experience, motivation/commitment,
- vii.** Project management procedures and guidelines shall be worked out jointly and memorandum of understanding shall be signed between parties,
- viii.** The project management team can be established based on the project establishment



- guideline,
- ix. The progresses of the project shall be monitored by the Grant and Collaborative Project Management directorate,
 - x. Unless the donor strictly prohibits, every project shall allocate 10% of the total project fund for overhead cost (project administration cost),
 - xi. Where applicable, of the 10% overhead cost, 6% percent shall be allocated to the university, 4% to the researchers who secured the research fund with the PI getting the largest share. Of the 6%, 50% shall be allocated to administrative cost at the center (the allocation shall be approved by the vice president for research and community Engagements upon the proposal of the GCPMD and ERD) and 40% to the respective college/institute/center/school/unit, 10% to finance,
 - xii. If the plan for the collaborative research project requires more budget than what the funding agency can cover, the university shall cover the difference amounting not more than one comprehensive grand project.

7.9. Joint Research Project

- i. It is a research project jointly funded by both the university and external bodies (NGOs, GOs, donors, Associations, foreign academic institutes, local universities, industries, sector offices, etc.) and managed by both parties,
- ii. If the project is affiliated to a certain college/institute/center/school/unit it shall be managed by the respective offices
- iii. A project proposal for joint project fund has to be acknowledged by the respective college/institute/center/school/unit and certified by the Grant and Collaborative Project Management office
- iv. Projects certified by the Grant and Collaborative Project Management directorate shall be approved by the vice president for research and community Engagements,
- v. The project can be initiated by either of the parties or the UIL-TT directorate,
- vi. Every kind of request from outside the University for Joint Research Project shall be directed to VPRCE. The VPRCE shall direct the request to ERD for proposing research/project team members in consultation with GCPMD and concerned college/institute/center directors, research coordinators and units,
- vii. Project management procedures and guidelines shall be worked out jointly and



- memorandum of understanding shall be signed between parties,
- viii. The progress of the project shall be monitored by the Grant and Collaborative Project Management directorate, and reported to concerned offices,
 - ix. The project team shall be established jointly and the project coordinators shall be assigned upon the agreement of the two parties.

8. Research Project Budget Allocation

Research budget shall be allocated based on a set criterion. See (**Annex 16**).

9. Fund Utilization

9.1. *Comprehensive Grand Project*

- i. For this scheme the maximum budget allowed to be withdrawn by the researcher in the first year is 15%, second year is 20%, third year is 20%, fourth year is 25% and final year is 20%. However, if the project can be planned for lesser years, the proportion can be adjusted accordingly.
- ii. Funds are released in three rounds in each budget year and the amount to be withdrawn in each round should not exceed one third of the budget of the year.

9.2. *Multidisciplinary Grand Project*

- i. For this scheme the maximum budget allowed to withdraw by the researcher in the first year is 30%, in the second year is 40% and in the third year is 30%. However, alike the comprehensive, if it is planned for lesser years, the proportion can be adjusted accordingly.
- ii. Funds are released in four rounds in each budget year and the amount to be withdrawn in each round should not exceed one fourth of the budget of the year.

9.3. *Special Female Research Project*

For this scheme, funds are released in four rounds and the amount to be withdrawn in each round should not exceed one fourth of the budget

9.4. *Small Scale Research Projects*

For this scheme, funds are released in four rounds and the amount to be withdrawn in each round should not exceed one fourth of the budget.

9.5. *Small Grants for Young Researchers*

For this scheme, funds are released in two rounds and the amount to be withdrawn in each round should not exceed half of the budget.

9.6. *Seed Fund*

For this scheme, funds are released in one round.

9.7. *Validation Workshop Budget*



Except for young research projects and seed fund, all types of project proposals are required to include a budget for validation workshop to be conducted at the research site.

9.8. Collaborative and Joint Research Projects

The financial administration of these projects shall be based on the project management guideline of the university and the project management guideline will be worked out for the specific projects.

10. Research Project Management and Reporting

10.1. AMU Funded Projects

10.1.1. Field Stay/Duration

- i. As the university has become a research university, staff has to engage in research work for a longer period. This requires more field time. Thus, though the teaching staff field stay may depend on the teaching load and the duration stated in the proposal, it can be 15 days at a time. On the other hand, the research staff field stay may depend on the teaching load and the duration stated in the proposal, it can be 20 days at a time.
- ii. The duration may be extended up to 5 extra days in consultation with the respective research center director/coordinator.

10.1.2. Withdrawal and Settlement

- i. The PI or his delegated co-investigator shall request withdrawal of research budget by using advance payment request form of the University (**Annex 7**). The delegation letter shall be submitted to the finance department together with the advance request form. Nevertheless, the PI and CI cannot withdraw budget at the same time.
- ii. Withdrawal of the research budget for field work shall be allowed by the department and approved by the respective research/unit coordinators, research center/institutes/directors (**Annex 7**).
- iii. Another round budget withdrawal shall not be allowed unless previous withdrawal is settled and progress report is submitted.
- iv. Request for new research budget for approved funds should always be preceded by field action plan (**Annex 8**),
- v. The final round of budget withdrawal should be settled before the end of the budget year using the forms (**Annex 9, 17, 18, 19, 20**),
- vi. The PI and CI(s) are responsible for efficient and effective utilization of the project fund according to the endorsed proposal,



- vii. Financial utilization for research projects should be as per the Arba Minch University financial rules and procedures.

10.1.3. Reporting

- i. Researchers shall submit the progress report of their projects at each settlement (**Annex 9**),
- ii. Researchers shall also present the progress report of their projects at the Annual Research Review Workshop,
- iii. The researcher/s should complete and report their research project in accordance with the specified time and approved budget plan,
- iv. Up on completion, the PI shall submit the final report of the research project to the respective RCOs and RCs of the university as per the contractual agreement, and settles all the financial matters,
- v. The final report of any research project executed at AMU shall be reviewed by at least two reviewers using the form in (**Annex 10**). The RCOs and RCs shall send the completed research projects to ERD in four copies (one for ERD, one for Community Engagement, one for UIL-TT and one for PG Library), (**Annex 11**)
- vi. ERD should write a thank you letter to the researcher/s for completed researchers with carbon copies to the respective finance departments and department of the researcher/s.
- vii. Every researcher and teaching staff should submit completed research findings for documentation and present them at the Annual Research Review Workshop,
- viii. Every researcher and teaching staff should publish at least two articles from a grand research project funded by AMU within a year of completion.
- ix. Every researcher and teaching staff should publish at least one article from a small/young/special female research project funded by AMU within a year of completion.
- x. Every researcher and teaching staff should present progress reports at the quarterly seminar to be held in the respective college/institute.
- xi. ERD shall notify the completion of specific research projects to the finance and budget process directorate with copy to relevant units of the university,
- xii. ERD in collaborations with RCOs and RCs shall prepare the Annual Research Review Workshop for disseminating the completed research outputs once in the first week of March every year,
- xiii. Any financial and material supports by the University for the Execution of a research project



shall be acknowledged by the researcher/s in any publicity of the research findings.

- xiv. Research directors and coordinators shall report the progress of the registered researches to ERD quarterly.

10.2. Collaborative and Joint Research Projects

- i. Financial matters of collaborative projects above five million birr shall be handled by the main finance office of the University,
- ii. Financial matters of collaborative projects below five million birr shall be handled by the respective sub-finance office of the University,
- iii. Financial administration of joint projects shall be the responsibility of the concerned college/institute finance,
- iv. Project progress and financial expenditure reports should be submitted to the concerned offices including ERD as per the agreed requirement of the project using the reporting format of the funding organization/the University (**Annex 9**),
- v. Final report of a completed collaborative and joint research projects shall be submitted for documentation to the ERD as per the format of the university (**Annex 11**).
- vi. Research laboratory facilities, vehicles, field equipment, etc. That are procured by a collaborative or joint research project shall be transferred to the college/institute/RC the project affiliates to at the end of the project. However, during project life, the resources shall be managed on the basis of the project management guideline.

11. Monitoring and Evaluation of Ongoing Research Projects

- i. All categories of research shall be regularly monitored based on modalities provided in this guideline. Nevertheless, the collaborative and joint projects shall also use their own monitoring and evaluation mechanisms.
- ii. Research directors and coordinators shall monitor and evaluate the progress of the registered researches through progress reports of each withdrawal.
- iii. Research directors and coordinators should also organize field supervision biannually.
- iv. Research directors and coordinators should organize quarterly seminars to be held in each college/institute/school for presenting research progress reports.
- v. Research directors and coordinators should make sure all completed research projects hold a validation workshop at the research site or a common place to the research sites that involves the respective research coordinator/director, two reviewers, and relevant sector offices and data providers/informants.



- vi. University wide research review workshops should be held annually by the ERD.
- vii. ERD and/or Colleges/Institutes/Schools shall also organize a research field day annually for supervising research projects.

12. Research project Extension, Suspension, Transfer and Termination

12.1. Extension

- i. Budget and time extension shall only be allowed if researcher/s comes up with justifiable reason.
- ii. The budget extension to be approved should not exceed 20% of the previously approved budget in the proposal.
- iii. The maximum time extension for a one-year project (Small Grant Project, Special Female and Young Researcher) shall be for one more year depending on the validity of the reasons for extension.
- iv. Comprehensive grand projects might be extended for a maximum of two years depending on the project nature.
- v. Multidisciplinary grand projects might be extended for a maximum of one year depending on the justification.
- vi. Researchers shall follow the standard format/s for the application of budget/time extension **(Annex 12)**.
- vii. The researchers should submit the budget and time extension request with justification to the RCDs or RCOs three months before the end of the planned time.
- viii. If the outcome of the RCDs or RCOs evaluation for budget and/or time extension is positive, the RCDs or RCOs shall forward the minutes to the ERD to be presented to the RDC for final approval.

12.2. Transfer

12.2.1. Conditions of Transfer

The PI of a research project may transfer the project to the CI under the following conditions:

- i. MA/M.Sc, PhD, Post Doc and Sabbatical leaves that forced the staff to move to another place of residence.
- ii. Termination of contract of employment and transfer to other organizations.
- iii. Serious illness, accident, imprisonment, etc.

12.2.2. The Transfer Process

- i. The transfer process shall be in accordance to the research project transfer form **(Annex**



13),

- ii. If the project has two or more CIs, there should be an agreement among them to nominate a new PI that will be approved by the ERD,
- iii. In the case of CI, the PI may suggest replacing the CI to the respective RCDs or RCOs to be approved by ERD,
- iv. The RDOs or RCOs shall check the fact that the PI has properly organized the progress reports of the project for transfer to the CI before the final approval by the ERD,
- v. When research projects are transferred, the transferring PI should provide all the necessary project related documents to the recipient CI,
- vi. If all the research project members leave at once in the middle of the project, it shall be transferred to a new team that shall be established by the former PI.

12.3. Pending

Research projects may be suspended due to (but not limited to)

- i. Failure to submit periodic progress report,
- ii. Conditions beyond the control of the researchers and/or the university,
- iii. Lack of necessary inputs,
- iv. Other cases as determined by the RCDs or RCOs.

The fate of a pending research project shall depend on the removal of the above conditions.

12.4. Termination

Research projects shall be terminated under the following conditions:

- i. When all investigators of the project leave the University for unavoidable reason at once before any withdrawal of fund,
- ii. When the researchers violate the contractual agreement,
- iii. If progress review results recommend the termination of the project,
- iv. Scientific misconduct as stipulated in this guideline.

13. Impact Assessment of Research Results

The VPRCE shall establish an ad hoc committee for assessing the university research status based on the following points:

- i. The knowledge, attitude, and practical impacts of the disseminated research projects,
- ii. The health, livelihood and environmental benefits of projects introduced for a specific community,
- iii. University and industry linkage achieved so far,



- iv. Research findings transferred to community development projects,
- v. The national and regional policy impact of the completed research projects,
- vi. The past, present and future scenarios of research activities at AMU,

14. Workload, Incentive and Recognition for Research

14.1. Workload

- i. For joint/collaborative/comprehensive and multidisciplinary research projects, two credits shall be considered for the PI and one credit hour shall be considered for each of the rest of the members,
- ii. For small scale, special female and young research projects, one credit workload shall be considered for each of the research team members,
- iii. Research loads of projects should not be extended beyond the approved project period for any reason, even for reasons of time and budget extension.

14.2. Incentive and Recognition

- i. The University shall reward three best researches of the year based on the evaluation criteria (**Annex: 14 and 15**) when approved by the RDC. The first best shall be rewarded 25, 000, the second 20,000 and the third 15,000 Birr.
- ii. Any AMU funded research project published in a reputable journal, shall receive 15,000 (fifteen thousand) birr per article. This shall be processed by the corresponding author.
- iii. AMU affiliated collaborative/joint project published in a reputable journal by AMU staff, shall also receive 15,000 (fifteen thousand) birr per article. This shall also be processed by the corresponding author.
- iv. A supervisor/s who is one of the authors of an article/s from AMU graduate students' thesis (dissertation) work shall receive 10,000 (ten thousand) birr per article. If the supervisors are more than one, the main supervisor shall get the 60% and the rest shall be shared among the co-supervisors. This shall be processed by the main supervisor.
- v. The PI of a grand project who completed and submitted the final reviewed report on time shall receive an award of 15,000 (fifteen thousand) birr per project,
- vi. Researchers who complete research projects in accordance with the planned budget/time schedule shall be certified and shall get priority for future funding,
- vii. Reviewers of research proposal, symposium full article and journal manuscript review shall be



paid two thousand and one hundred birr (2100 birr) per review per individual as stated in the payment directive of the Ministry of Finance 56/2011.

- viii. Reviewers of a book and final research report (terminal report) shall receive 50 ETB per page per individual.
- ix. Editorial Board Members shall be paid as stated in the payment directive of the Ministry of Finance 56/2011.
- x. Editorial team of research proceedings shall also be paid 50 ETB per page per individual.
- xi. Regular Research Ethics Board Members shall be paid 2,000 (Two Thousand Birr) per month while alternate members shall be paid two thousand and one hundred birr (2100 birr) per review per individual as stated in the payment directive of the Ministry of Finance 56/2011.

15. Punishment and Denial of Privileges

- i. Any researcher and teaching staff who do not present progress reports on the quarterly seminar shall be denied of the next withdrawal,
- ii. Any researcher who fails to submit completed research findings for documentation and present them at the Annual Research Review Workshop shall be denied of involvement in other projects,
- iii. Failure to acknowledge AMU for funding a project in any publicity shall result in holding any benefits and incentives that the researchers can gain from the publication,
- iv. PI who fails to submit financial and progress reports shall be given written warning by the RCOs and RCDs,
- v. If the PIs fail to respond to the warning on time, the project shall be suspended. If this cannot revert the issue, the project shall be terminated and the PI shall be forced to pay back all the financial withdrawals thus far.

16. Materials and Research Equipment

- i. Researchers should be abided by the purchasing and procurement rules and regulations of AMU for purchasing materials and equipment.
- ii. Fixed assets procured for research purposes shall pass through the University tagging, inventory and disposal processes.
- iii. Fixed assets purchased for research purposes shall be returned to the concerned college/institute/department up on the completion of the project.
- iv. Any input or research product or income generated during the research work should be



submitted to the concerned college/institute.

- v. Any material purchased for research should be used only for the intended purpose.

17. Scientific Misconduct

- i. Scientific misconduct is a deviation from the accepted scientific practices for proposing, conducting and reporting research. This can be manifested by fabrication, falsification, plagiarism etc.,
- ii. The RCDs/RCOs shall form an enquiry into the allegation to determine whenever the issue of scientific misconduct is reported,
- iii. Once scientific misconduct is reported, the RCDs and RCOs shall report the phenomena to the ERD of the University after investigating the issue by the respective college/institute RDC,
- iv. ERD of the University shall present the case to the RDC for further investigation and decision making as per the scientific misconduct principles of the university.

18. Ethical and Environmental Considerations

Research projects at AMU shall consider salient ethical principles and environmental considerations. All research projects should respect:

- i. The rights and values of human beings and welfare of the animals involving in the research,
- ii. The rights of Nations and Nationalities,
- iii. Local, regional, national and international ethical principles, environmental laws, ethical agreements and conventions,

19. Intellectual Property Rights of Research Outputs

The intellectual property rights of AMU research outputs shall be maintained according to national copyright and patent right laws. The processing of these rights shall be made through the University TT and IP coordination office.

20. Dissemination and Publication of Research Outputs

20.1. Dissemination

Completed research results shall be,

- i. communicated to the community, the funding organization and stakeholders through posters, leaflets, refereed journals, workshops, conferences/symposia, seminars, print and electronic media and soon.
- ii. communicated published research results shall be made available to potential users in the university libraries, website, research database;



20.2. Publication

The research outputs of AMU funded projects shall be published in different forms. These include book of abstracts, proceedings, articles, books, short communications, etc. This can be managed by the PDDD of the university. A research project funded by AMU should result in at least one publication in a reputable journal.

21. Journal Editorial Board and its role

21.1. General

- i. Editorial board (EB) shall be established to administer the journal publications.
- ii. The editorial board members are assigned on merit basis based on competition.
- iii. The EB members shall have at least a rank of Assistant Professor.
- iv. The EB members shall demonstrate commitment, broader experience and knowledge on publication processes and procedures.
- v. The EB shall have four or five members (editor-in-chief, two co-editor-in-chiefs, editorial manager, and language editor).
- vi. The terms of office of EB members will be three years based on performance.
- vii. Reviewing of articles should not be more than six weeks and the EB shall give final decisions within this time. The editor-in-chief shall send the article to another reviewer, if the first reviewer is not sending the comments within two weeks,
- viii. The editorial members shall be incentivized for their professional service as per the payment directive of Ministry of Finance 56/2011.

21.2. The Roles of the Editor-in-chief

The Editor-in-Chief of a publication is accountable to PDDD and has the following roles:

- i. Chairs editorial board members' meeting,
- ii. Approves annual plan of the publication,
- iii. Evaluates the performance of the members,
- iv. Communicates with authors,
- v. Decides if the manuscript should be sent to reviewers based on the suggestions from the co-editor-in-chief,
- vi. Selects and assigns appropriate reviewers, and sends the article to the reviewers,
- vii. Communicates comments from the reviewers to the authors timely,
- viii. Follows up and collects responses from the reviewers and decides on the status of the manuscripts,



- ix. Works to improve the visibility of the journal,
- x. Ensures the dissemination of published articles,
- xi. Creates link with other sisterly national or international journals,
- xii. Makes sure that the journal is indexed in national and/or international data-bases,
- xiii. Obtains an International Standard Serial Number (ISSN) and digital object identifier (DOI) for the Journal,
- xiv. Identifies topics for special issues of the journal,
- xv. Delegates some of its roles to the co-Editor-in-Chief
- xvi. Liaisons the journal to the public including scholars, scientific societies, local and international advisory and associate editors.

21.3. The Roles of the Co-Editor-in-chief

Co-editors-in-chief shall be accountable to editor-in-chief and shall have the following roles:

- i. Serves as the secretary of the board and performs the duty of the Editor-in-chief in his/her absence,
- ii. Prepares annual plan of the publication,
- iii. Reviews submitted manuscripts for layout, for adhering to the journal guideline and major editorial issues, and suggests decision to the Editor-in-Chief,
- iv. Supports the editor-in-chief in all other activities.

21.4. The Role of Editorial Manager

The Editorial manager shall be accountable to editor-in-chief and performs the following activities

- i. Handles and records cases of EB meetings,
- ii. Registers manuscripts for publication,
- iii. Manages the publishing process,
- iv. Collects addresses of the authors and reviewers in consent with editor-in-chief,
- v. Performs any other duties as may be required by the Editor-in-chief.

21.5. The Role of Language Editor

The language editor shall be accountable to the editor-in-chief and performs the following activities:

- i. Edit the language (spelling, grammar, punctuation etc.) of the article.
- ii. Ensure all parts of the document match (table of contents agrees with headings in the text & with the page number, list figure and appendices with their heading and pages),
- iii. Ensure that tables, figures, page numbers, equations, footnotes and captions, etc. found in the article are correctly placed.



21.6. Editorial Board Members Selection Criteria

Editor- in-chief

- i. Academic rank of Associate Professor and above with a PhD degree.
- ii. Published five or more articles on reputable journals.
- iii. At least 10 years of teaching/research experience in universities/research institute
- iv. Strong participation in research activities of the university as a researcher, reviewer, symposium organizing committee member, and etc.
- v. Preferably has experience in working as editorial board or as a reviewer in other journals

Co-editors-in-chief

- i. Academic rank of Assistant Prof., and above, preferably with a PhD degree.
- ii. Published at least three articles on reputable journals.
- iii. At least 8 years of teaching/research experience in universities/research institute.
- iv. Strong participation in research activities of the University as a researcher, reviewer, symposium organizing committee, and etc.
- v. Preferably has experience in working as editorial board or as a reviewer in other journals

Managing Editor

- i. Academic rank of Assistant Professor and above, preferably with PhD holder.
- ii. Published at least one article on reputable journal.
- iii. At least 4 years of teaching/research experience in universities/research institute.
- iv. Strong participation in research activities of the University as a researcher, reviewer, symposium organizing committee, and etc.
- v. Preferably has experience in working as a reviewer/managing editor in other journals

Language Editor

- i. PhD degree in English language studies.
- ii. At least 10 years of teaching/research experience in universities/research institute.
- iii. Previous experience as a language editor.
- iv. Strong participation in research activities of the university as a researcher, reviewer, symposium organizing committee, and etc.

22. Enforcement and Revision of the Guideline

After getting approved by the senate, this version of the guideline shall be enforced on all new research projects as of the date of announcement by Vice President for Research and Community Engagement (VPRCE). The guideline shall be revised every four years to accommodate emerging issues and the



reality of the University. However, if 2/3 of the RDC members request for revision in the interim, revision can be made in the meantime.

23. Notification

The Vice President for Research and Community Engagement shall be responsible to notify the concerned bodies for the implementation of the research guideline.

24. Liability

Any person who fails to comply with the provisions of this guideline shall, in accordance with the university legislation and the university Academic Staff Discipline Guideline is liable.

25. Repeal

The previous research guidelines are repealed up on the approval of this guideline. Moreover, no AMU guidelines, directives or practices shall, in so far as they are inconsistent with the provisions of this guideline, have effect with respect to matters provided by this guideline.

26. Effective Date

This guideline shall be effective from the date of final approval by the senate and bearing the senate Chairperson’s signature. It shall be enforced on all new research projects as of the date of announcement by Vice President for Research and Community Engagement (VPRCE).

**Damtew Darza Sozo (Dr.)
President**

The President’s Name -----Signature -----

Approving Date -----



References

- Arba Minch University (2013). Senate Legislation of Arba Minch University. Unpublished Arba Minch University (2009). Business Process Reengineering Research Core Process Unpublished.
- Federal Negarit Gazeta of the Federal Democratic Republic of Ethiopia (2009). Ethiopian Higher Education Proclamation . Proclamation No. 650/2009, Addis Ababa.
- Jimma University (2011) Guidelines and procedures for research, grant and consultancy, publication and extension, community based education and graduate programs. Unpublished,
- Hawassa University (2010). Hawassa University Research Strategy 2010-2015. Unpublished



Annexes

Annex 1: Standard Format for AMU funded Research Proposals

General

1. Margin: Normal (1" for top, bottom & right, and 1.25 left margins)
2. Title: font size 14, font: Times New Roman, bold, UPPERCASE, center text
3. Heading: Font size 12, font: Times New Roman bold for Header 1; 12, bold header 2; 11, *italics*, bold for header 3
4. Body Text: Font size 12, Times New Roman font
5. Reference, titles/captions for figures and tables: font size 12, font: Times New Roman
6. Spacing: 1.15 space between lines, 6pts between paragraphs but no indentation
7. Numbering: Number the pages except the cover page
8. Length: Minimum 15 pages.

COVERPAGE (*Include the Project title, Investigator's name, title and address, Department, Total budget, project duration (from-to,) Month, Year & Place*)

EXECUTIVE SUMMARY

(Give an abstract of the proposed research beginning with its central hypothesis and followed by its objectives and proposed methods. Underline the key words. The abstract should not exceed 250 words).

INTRODUCTION

(Background, Statement of the problem, Objectives, research questions/hypothesis, scope, significance - Describe basic assumptions/concerns that led you to study the topic. Include information on the likely contribution to knowledge and Technology adoption or generation that the research will made and its place in current debate/theory. Describe the gaps that the proposed research is intended to fill, State the general and specific objectives of the project clear. Specify the expected output of the research and the anticipated beneficiaries. Please also indicate, if possible, how the results will be implemented).

RESEARCH DESIGN AND METHODOLOGY/MATERIALS AND METHODS

(Describe the study area, How will you test it? Describe your experiment design briefly and scientifically. Indicate scientific equipment and software. Cite a few key references. Be specific to what experiments you intend to conduct and why)

ETHICAL CONSIDERATIONS (if any)

(Describe how the research is going to address ethical issues)

WORK PLAN

[Describe briefly the work plan for the project including the timetable corresponding to the expected results].

COST BREAKDOWN

[List the cost of the various line items. The budget should reflect the quantity of equipment and unit price. The kind and type of equipment should be specified. If local travel (though limited) is envisaged, duration and number of persons should be specified].

REFERENCES

[Use appropriate and selected publications. Use consistent referencing style (APA, MLA, HARVARD, VANCOUVER, etc)]

DECLARATION

(I/We, the undersigned investigator/s assure that this is my/our original work. No part of this work has been presented anywhere for any purpose.

Name/s of investigator/s:

- | | | |
|----------|-----------------|------------------|
| 1. _____ | Signature _____ | Department _____ |
| 2. _____ | Signature _____ | Department _____ |
| 3. _____ | Signature _____ | Department _____ |



Annex 2: Pre-review form

	Criteria			NA*
		Yes	No	
1	Compatibility of the research proposal to the standard format of AMU: Is the standard format utilized? (Title page, abstract, background of the study, statement of the problem, objectives, methodology, ethical consideration, benefits and beneficiaries, ways of disseminating research outputs, work Plan, cost breakdown, references)			
2	Inclusion of intervention			
3	Duration is within the years of the scheme			
4	Ph.D. and/or Master students are included			
5	Ph.D. and/or Master students included are relating to the study objectives and selected on competitive bases			
6	The mix of disciplines (three or more disciplines are included)			
7	The number of research participants is as suggested for the scheme			
8	The budget is within the limit for the scheme			
9	Title and scope refer to a comprehensive grand project (Enhancing, improving, enabling, building, etc. terms are used)			
10	Professional competence (discipline match) of the research team			

- NA= Not Applicable to the project type
- The 'No's must be addressed before the proposal is sent to the reviewers.



Annex 3: Research Proposal Evaluation Criteria

Key	1 = Poor	2 = Fair	3 = Good	4= Very Good	5 = Excellent	Reviewer's Evaluation					
						1	2	3	4	5	Total
Grade Points											
No	Evaluation Criteria					1	2	3	4	5	Total
1	Topic: is the topic researchable?										
2	Background: a clear background is stated										
3	Statement of the Problem: Does the investigator clearly indicate the research gap?										
4	Relevance of the Research to Solve Problems of the target Community: How relevant is the study, to solve pressing problems of the community?										
5	Nature of the Research: Is it demand driven, problem solving, multidisciplinary?										
6	Statement of Objectives: Does the investigator clearly identified general and specific objectives; relevance of the objectives to the research topic; usage of appropriate and measurable terms to state the objectives, etc.										
7	Alignment of the objectives with the title and their manageability: Are the objectives drawn from the research topic at hand, are they relevant to the t, are they not so broad to be covered?										
8	Clarity of the Research Method/methodology: Does the investigator clearly state all the methods/methodology required to successfully complete the research.										
9	Relevance of the Method to the Research: Are the specified methods fit the nature of the study under consideration? Does s/he not miss any method that is appropriate /important?										
10	Significance of the research (has the researcher described its significance to other researchers, the community, policy makers, etc.)										
11	Feasibility of the Work Plan: Is the total time indicated reasonably sufficient to complete the research project?										
12	Feasibility of the Budget Requirement: Is the budget stated in detail, clearly, fairly and without exaggeration?										
Total Grade Point (60)											

General Comment:

<u>Reviewer's name</u>	<u>signature</u>
1. _____	_____
2. _____	_____



Annex 4: Ethical Review Form

Protocol Number:		Date (D/M/Y):	
Protocol Title:			
Principal Investigators:		Contact No.	
Institute:		Contact No.	
Co – investigator(s):		Contact No.	
Total No. of Participants:		Name of Study site/s:	
Funding Agency:		Contact No.	
Duration of the Study:		Status: <input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Amended	
Reviewer’s name :		Contact No.	
Type of the Study :		<input type="checkbox"/> Intervention <input type="checkbox"/> Observation <input type="checkbox"/> Genetic <input type="checkbox"/> Document based <input type="checkbox"/> Individual based <input type="checkbox"/> Social Survey <input type="checkbox"/> Others, specify.....	
Review Status:		<input type="checkbox"/> Regular <input type="checkbox"/> Expedited <input type="checkbox"/> Emergency	
Description of the Study in brief: Mark whatever applied to the study.			
<input type="checkbox"/> Randomized <input type="checkbox"/> Stratified Randomized <input type="checkbox"/> Open-labeled <input type="checkbox"/> Double blinded <input type="checkbox"/> Placebo controlled <input type="checkbox"/> Treatment controlled <input type="checkbox"/> Cross-over <input type="checkbox"/> Parallel <input type="checkbox"/> Interim Analysis <input type="checkbox"/> Use of Tissue samples <input type="checkbox"/> Use of Blood samples <input type="checkbox"/> Use of genetic materials <input type="checkbox"/> Multicenter study <input type="checkbox"/> Screening <input type="checkbox"/> Descriptive			
Brief the study design and the statistic used:			
Study Objectives:			
.....			
.....			
01	Background information <input type="checkbox"/> Sufficient <input type="checkbox"/> Insufficient	Comment:	
02	Justification of the study <input type="checkbox"/> Satisfied <input type="checkbox"/> Unsatisfied	Comment:	
03	Benefit and beneficiaries of the study <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:	
04	Objectives of the study <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	What should be improved?	
05	Study area and period <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:	
06	Study design <input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable	Comment:	
07	Study subjects <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	What should be improved?	
08	Need for Human Participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:	
09	Inclusion Criteria	Comment:	



	<input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	
10	Exclusion Criteria <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
11	Risks and benefits of participants <input type="checkbox"/> Acceptable <input type="checkbox"/> Unacceptable	Comment:
12	Participants withdrawal criteria <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
13	Involvement of vulnerable participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
14	Voluntary, non-coercive recruitment of participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
15	Number of participants <input type="checkbox"/> Sufficient <input type="checkbox"/> Insufficient	Comment:
16	Variables in the study <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
17	Data quality management <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:
18	Data processing and analysis <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:
19	Control arms (placebo, if any) <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
20	Plan for communication of findings <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:
21	Qualification and experience of the investigators <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
22	Disclosure or declaration of potential conflicts of interest <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
23	Facilities and infrastructure of Participating Sites <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
24	Community consultation <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
25	Involvement of local researchers and institution in the protocol <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
26	Contribution to development of local capacity for research and treatment <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
27	Benefit to local communities <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:



28	Availability of similar study <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
29	Are blood/tissue samples sent abroad? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
30	Are procedures for obtaining informed consent appropriate? <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
31	Contents of the informed consent <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:
32	Informed consent language <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:
33	Contact persons for participants <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
34	Privacy & confidentiality <input type="checkbox"/> Yes <input type="checkbox"/> No	Comment:
35	Inducement for participation <input type="checkbox"/> Unlikely <input type="checkbox"/> Likely	Comment:
36	Provision for medical / psychosocial support <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
37	Provision for treatment of study-related injuries <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
38	Provision for compensation <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:
39	Data collection tool <input type="checkbox"/> Clear <input type="checkbox"/> Unclear	Comment:
40	Language of the data collection tool <input type="checkbox"/> Appropriate <input type="checkbox"/> Inappropriate	Comment:

Assigned Reviewer's Assessment Report

Protocol Number:		Review Date (D/M/Y):	
Protocol Title:			
Elements Reviewed		<input type="checkbox"/> Attached	<input type="checkbox"/> Not attached
Revised protocol status <input type="checkbox"/> New <input type="checkbox"/> Revised <input type="checkbox"/> Amended		Date of Previous review/amendment:	
DECISION :	<input type="checkbox"/> Approved as it is <input type="checkbox"/> Resubmission	<input type="checkbox"/> Approved with recommendation <input type="checkbox"/> Disapproved	
Additional Comments:			
Signature :		Date:	

IREB's Decision



Meeting No.:		Date (D/M/Y):			
Protocol number:		Assigned No.:			
Protocol Title:					
Principal Investigator:					
Elements Reviewed:		<input type="checkbox"/> Attached	<input type="checkbox"/> Not attached		
Review of Revised Application <input type="checkbox"/> Yes <input type="checkbox"/> No		Date of Previous review:			
Decision of the meeting:		<input type="checkbox"/> Approved as it is	<input type="checkbox"/> Approved with Recommendation		
		<input type="checkbox"/> Resubmission	<input type="checkbox"/> Disapproved		
No.	Voting IREB members	Decision			
		AP	AR	RES	DA

Note: AP - Approved; AR – Approved with recommendation;
RES – Resubmission for re-review; DA – Disapproved

.....
IREB Chairperson
Date:.....

.....
IREB Secretary
Date:.....



Annex 5: Assurance of Principal Investigator(s)

ASSURANCE OF INVESTIGATORS

I/we, the undersigned agree to accept responsibility for the scientific, ethical and technical conduct of the research and/or technology development project for the provision of required technical progress reports, financial settlements and presentation of the research/application output at annual research review as per terms and conditions of the research directorate of Arba Minch University if grant is awarded as a result of this application.

Project code: _____

Name/s of Investigator/s

1	_____	_____	_____	_____
(PI)		Department	Signature	Date
2.	_____	_____	_____	_____
(CI)		Department	Signature	Date
3.	_____	_____	_____	_____
(CI)		Department	Signature	Date

Approval:

_____	_____	_____
Head, Department	Signature	Date
_____	_____	_____
Research Director/Coordinator	Signature	Date
_____	_____	_____
Dean/Director College/Institute	Signature	Date



Annex 6: Contract Agreement for AMU Funded Research Projects

1. Title of the research project:-----
2. Project code: -----
3. Executive Summary of research project:

Investigators Name	Address (Tell. No and E-mail)
PI:	
CI ₁	
CI ₂	
CI ₃	

4. Amount of award: (in words)
 - a. Amount to be utilized in yearX: _____
 - b. Amount to be utilized in yearX+1: _____
5. Period: _____
6. Commitment of the researcher (s):

I/we, the undersigned agree to accept responsibility for:

Undertaking the research scientifically and with all its technical aspects as per the research guideline of AMU.

Provision of field reports after every field mission.

Submission of detail work plan and mission reports before every withdrawal of budget and settlements of utilized budget.

Presentation of research reports at an annual research review workshop organized by the university.

Name of PI _____ Signature _____ Date _____

Name of CI _____ Signature _____ Date _____

Name of CI _____ Signature _____ Date _____

Approval:

Signature

Date

RD/RCO

College /Inst. Dean/ Direct

Director, ERDO

Authorization:

VPRCs

Signature

Date

Stamp on all pages is important



Annex 7: Advance request application form

Date _____
Ref.No. _____

Arba Minch University
Advance Request Application Form for Research Activities

Name: _____ Research Title: _____

Project Code: _____ Total Grant Awarded: _____ Balance: _____ Budget Source _____
Budget line _____ Traveled to: _____

Means of traveling: Air University Vehicle Public Transport
Mission of the Plan _____

Duration: from _____ to _____ Daily per diem rate _____
Total per diem requested (days x rate) _____ Transport Other
_____ Birr
1) _____ Birr
2) _____ Birr
3) _____ (-----in words) Birr
Total

Applicant's signature: _____ Date: _____

Approval and Authorization

Approved by (Department head): _____

Name	Sign.	Date
------	-------	------

Approved by (R Director/Coordinator): _____

Name	Sign.	Date
------	-------	------

Authorized by (College Dean/Inst Dir): _____

Name	Sign.	Date
------	-------	------

Finance Department's Comment: _____

Budget: _____ Accounting: _____



Annex 8: Work Plan format for Field Work

Title of the Research: _____

Project Code: _____

No.	Duration	Place	Activity	(Budget)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
Total				

Name of PI or CI: _____

Signature: _____

Date: _____



Annex 9: Progress Report format

1. Identification:
 - a. Title of the project: -----
 - b. Project code: -----
 - c. Principal investigator-----
 - d. Co-Investigator(s)_____
 - e. Department/Center/Unit: -----
2. Objectives:
 - a. General:
 - b. Specific:
3. Mission duration [Report duration]:
4. Project output description

[State briefly the work plan for the period until the current reporting is made, give the highlights of the work done during the reporting period]

5. *Performance measure achievements [achievements as per the agreement made with immediate supervisor]*
6. *Problems encountered:*

[State any major problems encountered while conducting the research]

7. *Measures taken:*
8. *Financial expenditure*

(Detailed expenditure for the reporting by budget item which has to be filled in consultation with the finance office of the University)

9. *Additional remarks:*

Prepared by-----Signature-----



Annex 10: Review protocol for AMU funded completed research project report

1. General

Title of the project:

Amount of fund during project approval [attach financial report of completed project]

Project period

From _____ / _____ / _____ to _____ / _____ / _____ (dd/mm/yy)

Principal investigator

Name: _____ Academic rank: _____ Department: _____

Collaborators (if any)

Name: _____ Academic rank: _____ Department: _____

2. The review form (to be filled by the reviewers)

General comments [*comments on the worth of the knowledge/technology adapted/adopted or generated, sufficiency of information generated, and conclusions drawn*]:

Comments on the content and organization of the report:

Comments on the introduction section:

Comments on the methodology section:

Comments on the result section: [Knowledge and Technology adapted/adopted or generated

Comments on the discussion section including conclusions and recommendations:

Comments on the references:

Comments on the project plan vis-à-vis implementation and budget utilization:

Comments on possibility of Knowledge and Technology transfer:

Name -----Signature -----



Annex 11: Final Report Compilation format

General

1. Margin: Normal (1" for top, bottom, right and 1.25 left margins)
2. Title: Font size 14, Font: Times New Roman, bold, UPPER CASE, center text
3. Heading: Font size 12, Font: Times New Roman, bold for Header 1; 12, bold header 2; 12, italics, bold for header3
4. Body of text: Font size 12, Font: Times New Roman
5. Reference, titles/captions for figures and tables: Font size 11, Font: Times New Roman
6. Spacing: 1.15 space between lines, 1.15 space between paragraphs without indentation
7. Minimum page numbers for young/small/special female research projects - 30 pages
8. Minimum page numbers for grand research projects - 50 pages

1. **Cover Page** [*Includes the Project title, Investigator's name, title & address, Department, Month and Year*]

2. Abstract

(Give an abstract of the research beginning with its central hypothesis and followed by its objectives and methods. State the key words. The abstract should not exceed 250 words.)

3. Introduction

[Include background, statement of the problem, objectives, research questions/hypothesis, significance, scope, limitations]

4. **Review of Related Literature** *(Describe the conceptual and theoretical framework and empirical reviews relating to the study)*

5. **Research Design and Methodology/Materials and Methods** *[Describe the study area, how did you test it? State the project duration (From-to), describe your design briefly and scientifically. Indicate scientific equipment and software. Cite a few key references as appropriate. Be specific about the research you conducted and why]*

6. **Results and Discussion/Findings** *[Describe the major findings of the research and interpretation of results in relation to other related studies]*

7. Conclusions and Recommendations

8. References

[Use appropriate and selected publications. Use referencing a style consistently (APA, MLA, HARVARD, VANCOUVER, etc.)]

9. Acknowledgments

10. Declaration

I or we, the undersigned investigator/s assure that this is my/our original work Name/s of investigator/s:

1. Signature _____ Department _____

2. Signature _____ Department _____

3. Signature _____ Department _____



Annex 12: Research Extension Request Format

Date: _____

Title of the Project: _____

- 1. Registration Number of the Project:** _____
- 2. Project management/Organization/Co-ordination:**
Principal investigator (s):
School/Institute:
Department:
Research team members:
- 3. Project duration:**
- 4. Funding**
Source of funding:
Amount:
Consumed Fund:
Financial expenditure (detailed expenditure for the reporting period by budget item):
- 5. Project status:**
- 6. Achievements/progress:**
- 7. Reason for Extension (state briefly why you intend to extend your research to the coming recurrent budget)**
- 8. Problems encountered (state any major problems encountered while conducting the research):**

Name-----Signature -----Date-----



Annex 13: Research Project Transfer Request Form

Project Title _____
 Project Code _____
 Total allotted grant _____ Utilized _____
 _____ Remaining _____ Name of Transferring
 PI/CI _____ Department _____
 Name of Receiving PI/CI _____ Department _____
 Reason for transfer _____

I, _____, announce that I transferred the project to Mr. _____
 due to the reason mentioned above. I have submitted all project related documents and results
 that would enable the continuation of the project.

I _____ declare that I have agreed to be
 responsible and undertake the above mentioned project as PI/CI. I have received all the necessary
 research related projects and results. I agreed to finish the project and report the result as per the
 approved schedule with the remaining budget of the project.

Transferring PI/CI	Signature	Date
Transferring PI/CI	Signature	Date
Approval		
Head, Department	Signature	Date
RD/RCO Authorization	Signature	Date
College Dean/Institute/Direct	Signature	Date
Director, RDO	Signature	



Annex 14: Procedure for selection of best researcher

1. ERD shall request colleges/Institute RCOs, RCs and RUs to nominate best researches based on the evaluation criteria at the end of the third quarter of the fiscal year,
2. ERD shall call for award competition,
3. A researcher personally applies to the College/Institute RCs, RCOs, RUs for the award,
4. One best research shall be selected as a candidate for the award at College/Institute level,
5. The selected research together with the minutes of the college/Institute council shall be submitted to the ERD for final competition,
6. RDC shall make the final selection of the best researchers at the University level,
7. The RDC shall announce the three best researches for award.
8. The award (financial incentive) for the best selected researches shall be provided based on article 11 of this guideline,
9. The departments of the best researchers shall be awarded trophy and certificate of recognition.



Annex 15. Evaluation criteria to nominate best researcher/coordination office/center

The selection criteria for the best researches of the year given under Annex 12a are provided here under.

Name of the researcher/s _____

College/Institute _____

Academic/Research Rank _____

Criteria	Keys for marking (Marks are norm referenced)	Values	Actual Marks	Remarks
1. Number of publications in a reputable journal from AMU funded projects in the year	A researcher with the maximum number of publications from AMU funded projects in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.			
	1. first author	15		
2. Number of publications in a Chapter of a book from AMU funded projects in the year	A researcher with the maximum number of publications from AMU funded projects in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.			
	2. co-author	10		
3. Number of published articles in international/national conference proceedings from AMU funded projects in the year	A researcher with the maximum number of publications from AMU funded projects in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.			
	1. first author	15		
4. Number of Projects transferred/engages the community in the year	A researcher with the maximum number of published articles in international/national conference proceedings from AMU funded projects in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.			
	2. co-author	10		
5. Number of Papers transferred/engages the community in the year	A researcher with a letter from the community Engagement directorate describing the number of projects transferred/engages the community in the year gets the marks based on the numbers of the project converted to the values indicated in the next column			Number of people benefited can also be a measure
		15		
6. Number of papers presented in international conferences	A researcher with the maximum number of papers presented in international conferences in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.	6		
7. Rate of completion of AMU funded projects in the last five years	A researcher with a maximum number of papers presented in national conferences in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.	4		
8. Extent of involvement in proposal reviews in	A researcher with the maximum (highest) rate of completion of AMU funded projects in the last five years will get the full value indicated in the next column and the rest will be calculated based on the level of the rate.			
	All	10		
	Some	8		
	Few	6		
	A researcher who reviewed the maximum number of proposals in the year will get the full value indicated in the	5		



the year 2020/21	next column and the rest will be calculated based on the equation for this.	
9. Involvement in completed research review process in the year	A researcher who reviewed the maximum number of completed researches in the year will get the full value indicated in the next column and the rest will be calculated based on the equation for this.	6
10. Involvement in AMU journal board member in the year	A researcher who involved AMU journal board member in the year will get the maximum value given for this.	6
11. Involvement in seminar organization in the year	A researcher who involved in seminar organization in the year will get the maximum value given for this.	3
12. Number of national/international awards received in the year for best achievements in research	A researcher with a maximum number of national/international awards received in the year. Awards are recognitions given in the form of certificates/medals/labels indicating the researcher is awarded it for best achievement.	15
13. Funds solicited from external source to support research in the year	A researcher who solicited funds of any amount from external source to support research 1. If it is from a national source will get the 75% of value given for this 2. If it is from an international source will get the 100% of value given for this	15
14. Number of patents secured based on AMU funded research output in the year	A researcher who received the maximum number of patents based on AMU funded research output in the year will get the maximum value given for this	15
15. Involvement in a multidisciplinary research	A researcher who involves in a maximum number of multidisciplinary researches in the year will get the maximum value given for this.	10

Total

Decision criteria for the award: The best three researches that exceeded 85% and 75% (for female) shall be eligible for award. Those who scored the top points will be selected for award. The candidate who has maximum evidence of criteria will attain the maximum point and the relative proportion will be used for marking.



Annex 16: Criteria for budget allotment

No.	Criteria	Percent
1	Number of staff (Teaching and research with a rank of lecturer and above)	10
2	Nature of the research in terms of budget intensity (60/40 % - Natural/Social)	10
3	Extent of proper use of previous research budget	10
4	Percentage of staff (teaching and research with a rank of lecturer and above) involving in research	10
5	Percentage of Female staff involving in research	10
6	Number of Active grand projects	10
7	Number of publications on reputable journals	10
8	Number of thematic areas	5
9	Number of completed research projects within the duration	15
10	Presence of collaborative project/grant secured	10
	Total	100



Annex 17: Per Diem Settlement Application Form

Arba Minch University
Per Diem Settlement Application Form for Research Activities

Date _____
 Ref.No. _____
 Name: _____
 Research Title: _____

Project Code: _____

Total Grant Awarded: _____ Balance: _____ Budget Source _____ Budget line _____

Traveled to: _____

Mission of the Plan _____

Duration: -from _____ to _____

No	Starting Place	Date	Time	Arrived at (Place)	Date	Time	Transport cost	Remark
1								
2								
3								
4								
5								

** Please attach the receipts for transportation cost:*

I have accomplished the mission as per the plan and submitted the report in writing (see attached)/verbally (please underline as appropriate) and request the settlement of my expense.

Applicant's Signature: _____ Date: _____

Checked by Department/School head: _____

Approved by (R/S Cord.): _____ Date _____

Authorization (College Dean/Inst Dir by Name: _____ Sign. _____ Date _____)

Accounting (For financial department use only):

Departure date: Breakfast _____ Lunch _____ Supper _____ Bed _____ Total payable _____

Duty dates: Per Diem rate: _____ total date/s _____ total payable _____

Date of return: Breakfast: _____ Lunch _____ Supper _____ Bed _____ Total payable _____

Advance payment received by the applicant: _____

Payment due to the applicant: _____

Balance due from Applicant: _____

Prepared by: _____ Checked by: _____ Authorized by: _____



Annex 18: Special payment sheet

Date _____
Ref..No. _____

Arba Minch University
Special payment sheet for
Research Activities

(This form is to be used when many individuals are involved and financial issues managed by the PI/CI).

Name: _____

Research Title: _____

Project Code: _____ Total Grant Awarded: _____ Balance: _____ Budget Source _____ Budget line _____

Reason/s: _____

No	Name	Unit	Place	Amount	Payment		Sign.
					Rate	Total pay	
1							
2							
3							
4							
5							
6							
7							
8							

Prepared by: _____ Name _____ Sign. _____ Date _____

Checked by (Department/ School Head): _____ Name _____ Sign. _____ Date _____

Approved by (RD/Coordinator): _____ Name _____ Sign. _____ Date _____

Authorized by: _____ Name _____ Sign. _____ Date _____



Annex 19: Petty Cash Settlement Application Form

Date _____
Ref.No. _____

Arba Minch University
Financial Settlement Application Form for research related Small Purchases

Name: _____

Research Title: _____

Project Code: _____

Total Grant Awarded: _____ Balance: _____ Budget Source

Budget line _____ Advance Received: _____

I, the undersigned have purchased/spent the following (see table below) for project related activities from the advance I have received/from my own pocket and request the settlement/reimbursement of the expenses according to the credentials attached to this application form.

No	Item of the expense	Unit (No.)	Unit cost	Total Cost.
1				
2				
3				
4				
5				
6				
7				
8				
	Total (in Figures)			
	Total expense in words:			

Applicant's signature: _____

Date: _____

Checked by (Department/ School Head): _____

Name

Sign.

Date

Approved by (RD/Cord.): Name: _____

Sing.

Date: _____

Authorization by: _____

Name

Sing.

Date



Annex 20: Contractual agreement for short term research activities

በአርባምንጭ ዩኒቨርሲቲ የምርምር አጋዥ ስራ የኮንትራት ውል ስምምነት

ይህ ውል ከዛሬ..... ቀን ዓ.ም. ጀምሮ ከዚህ በኋላ ተቀጣሪ እየተባለ/ሉ ከሚጠራ/ሩ

- 1. አቶ የመታ.ቁ ስልክ ቁ.....
- 2. አቶ የመታ.ቁ ስልክ ቁ.....
- 3. አቶ የመታ.ቁ ስልክ ቁ.....
- 4. አቶ የመታ.ቁ ስልክ ቁ.....
- 5. አቶ የመታ.ቁ ስልክ ቁ.....
- 6. አቶ የመታ.ቁ ስልክ ቁ.....

እና ከአሁን በኋላ ውል ሰጪ እየተባለ ከሚጠራው አርባ ምንጭ ዩኒቨርሲቲ ጋር እንደሚከተለው ውል ተገብቷል።

አንቀጽ 1 /አንድ/

1.1 የሥራው ዓይነት፡-

.....
.....

1.2 የሥራ ቦታ፡-

1.3 ሥራው የሚጠናቀቅበት ጊዜ፡-

1.4 ክፍያ ብር፡-

አንቀጽ 2 /ሁለት/

2.1 በውሉ መሠረት ለማከናወን ቃል የገባሁትን ሥራ በአግባቡ ማከናወንና የዩኒቨርሲቲ ተወካይ በሆነው ባለሙያ አረጋግጦ ማስረከብ፤

አንቀጽ 3 /ሦስት/

3.1 ውል ተቀባይ ሥራውን በተወሰነው ቀን ውስጥ አጠናቆ እንደጨረሰና ሥራውን በትክክል ስለመሠራቱ ተረጋግጦ ሲቀርብ ክፍያው ብር..... ወዲያውኑ ይከፍላል።

አንቀጽ 4 /አራት/

4.1 ውል ተቀባይ ሥራውን ከጀመረ በኋላ ሥራውን አቋርጦ ቢሄድ ለሥራ ውል ወጪ አድርጎ ጥቅም ላይ ሳያውል በመቅረቱ የባከን ገብረት ካለ ውል ሰጪ ከክፍያው ላይ ተቀናሽ ያደርጋል።

አንቀጽ 5 /አምስት/

5.1 ከዚህ በላይ ከአንቀጽ 1 እስከ 5 ባለው ውል መሠረት ከላይ የተጠቀሰውን ሥራ በጋራ ለመሥራት ተስማምተናል።

የውል ሰጪ ስምና ፊርማ

የውል ተቀባይ ስምና ፊርማ

.....

1.

2.

3.

4.

5.

6.

የእማኞች ስም

የእማኞች ፊርማ

1.

.....

2.

.....

3.

.....



Annex 21: Researchers and Reviewers Profile and Other Information Form *

A. TITLE OF PROJECT: _____					
B. PRINCIPAL INVESTIGATOR (PI) Name: _____ Academic Rank: _____ Specialization: _____ College: _____ Department: _____ Email: _____ Tel(cell): _____ Signature: _____ Submission Date: _____ No of projects being co-investigated: _____	D. CO-INVESTIGATOR (II) Name: _____ Academic Rank: _____ Specialization: _____ College: _____ Department: _____ Email: _____ Tel(cell): _____ Signature: _____ No of projects being co-investigated: _____ Please use back page for more co-investigators				
C. CO-INVESTIGATOR (I) Name: _____ Academic Rank: _____ Specialization: _____ College: _____ Department: _____ Email: _____ Tel(cell): _____ Signature: _____ No of projects being co-investigated: _____	E. DURATION OF THE PROJECT <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <td style="width: 50%; text-align: center;">COMMENCEMENT</td> <td style="width: 50%; text-align: center;">TERMINATION</td> </tr> <tr> <td style="height: 20px;"> </td> <td style="height: 20px;"> </td> </tr> </table> F. AMOUNT OF GRANT REQUESTED IN BIRR: _____ G. CATEGORY (highlight): <div style="display: flex; justify-content: space-around; margin-top: 5px;"> <input type="checkbox"/> RESEARCH <input type="checkbox"/> TECHNOLOGY </div> <div style="margin-left: 100px; margin-top: 5px;"> <input type="checkbox"/> DEVELOPMENT </div>	COMMENCEMENT	TERMINATION		
COMMENCEMENT	TERMINATION				
ASSIGNED REVIEWER (I) Name: _____ Academic Rank: _____ Specialization: _____ College: _____ Department: _____ Email: _____ Tel(cell): _____ Date Submitted: _____ Reviewer Signature: _____ Date Returned: _____ Research Coordinator Sign: _____	ASSIGNED REVIEWER (II) Name: _____ Academic Rank: _____ Specialization: _____ College: _____ Department: _____ Email: _____ Tel(cell): _____ Date Submitted: _____ Reviewer Signature: _____ Date Returned: _____ Research Coordinator Sign: _____				



Annex 22: Research Thematic Areas of Arba Minch University

S/No	Themes
	AMiT
1	Design, Development and Manufacturing of Electromechanical Engineering Systems
2	Information Technology and Computing
3	Sustainable Development in Built Environment
	CNS
1	Environment and Biodiversity studies
2	Biotechnology production and application
3	Material Science
	CAS/LFRC
1	Livestock production and productivity improvement
2	Field and horticultural crop production and productivity improvement
3	Postharvest biology and technology of agricultural products
4	Natural resource Conservation and Management
5	Agricultural economics, agribusiness & value chain and extension
	CMHS
1	Maternal and child health
2	Human Nutrition and chronic non communicable diseases
3	Health care delivery and alternative medicine
4	Environmental and occupational health and infectious diseases
	CRTC-NTD
1	Neglected Tropical Diseases
	CBE
1	Poverty, agriculture and rural-Development
2	Finance, Investment and Good Governance
3	Tourism and Hospitality
4	Human resource management, Leadership and marketing
5	Entrepreneurship and Enterprises development
	CSSH
1	Language, Communication and Literature
2	Access to quality education
3	Governance, development and Investment
4	Population, migration and human trafficking
5	Conflict resolution
	WRRC
1	Water Resources potential assessment and management
2	Sustainable Watershed Management
3	Irrigation and Drainage
4	Water Supply and Sanitation



5	Climate change, adaptation and environmental integrity
	BDRC
1	Plant diversity
2	Animal diversity
3	Microbial diversity
	GHLFVRC
1	Highland Fruit Production
2	Highland vegetables
3	Highland Root and Tuber Crops
	RETRC
1	Solar energy
2	Wind energy
3	Bio-energy
4	Small Hydro power
	SBRU
1	Culture and heritage management
2	Traditional religion and ethno-medicine
3	Family, kinship and marriage
4	Indigenous governance and Peace Building
	SL
1	Family Status and Inheritance
2	Case analysis and jurisprudential development
3	Access to Justice
4	Human rights protection

NB: These list needs revision to bring relevant themes together.



Annex 23: Criteria and Procedure for Budgetary support for PhD students

Criteria

In order to get the support the candidate must,

1. be AMU research/teaching staff.
2. have signed contractual agreement with the university.
3. be at least a second year PhD candidate and left with a year or more to complete the research work.
4. have registered in Ethiopian universities and conduct the research in Ethiopia.
5. have a research topic within the thematic areas of the university which should be rectified by two reviewers.
6. provide a letter from the hosting university president indicating the candidate requires additional research budget support and or/have not got any such support from the hosting university.
7. have signed an agreement to settle the budget within the budget year.
8. must have agreed to submit a copy his/her dissertation or copies of published articles to be uploaded the university web site and/or database
9. must agree to mention the support from the university on the acknowledgment of the dissertation and/or articles.
10. provide a proof of all the criteria with the application letter for the budget support to the respective college/institute coordinator.

Procedure

1. The applicant provides the documents to the respective college/institute.
2. Upon scrutiny, the institute/college shall direct this to the research coordinator.
3. The contract then shall be signed by all concerned including the executive research director and the Vice President for Research and Community Engagements
4. Finally, the executive director for research shall write a letter of release of finance to the main finance and budget director indicating requesting the release of budget to the respective sub-finance which shall pay the money accordingly and in one installment.



Annex 24: For PhD students research budget support (To be filled by the applicant)

1. Name of the applicant _____
2. Department of the applicant _____
3. College/Institute/Center/Unit of the applicant _____
4. Title of the PhD research _____
5. Year of admission to PhD _____
6. Year of Completion(expected) _____
7. University of Admission _____
8. Country of Admission _____
9. Contract Agreement with AMU during departure to the PhD admission:

YES

NO

10. Proposal approved by reviewer board of the hosting University:

YES

NO

11. Location of the research area:

Within Ethiopia

Outside Ethiopia

12. If the location of the research area is within the country. Where is it specifically?

13. Willing to upload the dissertation and publications out of the dissertation on the University website and research database:

YES

NO

14. Willing to acknowledge Arba Minch University in the dissertation and publications out of it:

YES

NO

15. Received support from hosting University or elsewhere YES NO

16. Theme of your research in relation to that of the University _____

17. Hosting college/Institute/Center/Unit of your theme in AMU _____

18. Willing to settle all expenditure according to the financial laws and regulations of Ethiopia in the same budget year. Otherwise, can be deducted from my salary.

YES

NO

All the above information are True and Correct.

Name of the applicant _____

Signature of the applicant _____

Date _____



Annex 25: Theory of Change and Path ways

THEORY OF CHANGE: Sub Project title: IUC Transversal institutional strengthening sub-project (P1)

