


# The Catholic University of Eastern Africa

TITLE	AUTHOR
<b>PROCEDURE FOR INTERNALLY FUNDED RESEARCH PROJECTS (CUEA/DVC ACD/DOR/01)</b>	<b>DIRECTOR OF RESEARCH</b>
	NO. OF APPENDICES:
	<b>5 (FIVE) (A-E)</b>
<b>AUTHORIZATION</b> This Standard Operating Procedure is issued under the authority of:	
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<b>NOTE:</b> <ol style="list-style-type: none"> <li>1. Write amendments on the page provided (Clause 0.2)</li> <li>2. Controlled copies of this document will be in the DVC Academic and Director of Research's office.</li> </ol>	

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**0. CONTENTS AND RECORD OF CHANGES**

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**0.2 RECORD OF CHANGES**

No.	Date	Details of Changes		Authorization
	<i>(dd-mm-yy)</i>	<i>Page</i>	<i>Clause/subclause</i>	<i>Title</i>
1	19 May 2011	3	6.9 ( reference to forms)	Director of Research
2	19 May 2011	4	6.10 (reference to form)	Director of Research
3	19 May 2011	4	6.15 (reference to form)	Director of Research

**0.3 Distribution / Circulation**

This Standard Operating Procedure is available at relevant function for authorized users.

**1.0 Purpose**

This procedure describes the steps that shall be followed in ensuring effective and efficient award of research grants.


**2.0 Scope**

This procedure applies to all full-time CUEA academic staff.

**3.0 TERMS AND DEFINITIONS**

- 3.1 Faculty – A faculty means a member of teaching staff
- 3.2 Proposal – A description of the work to be completed on a project.
- 3.3 Grants - Financial assistance in the form of money
- 3.4 DoR – Department of Research
- 3.5 Rev – Revision
- 3.6 RC – Research Committee
- 3.7 CUEA- Catholic University of Eastern Africa

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3.8 DVC – Deputy Vice Chancellor  
3.9 ACD- Academic

#### **4.0 References**

This procedure makes references to the following documents:

- 4.1 CUEA Research Policy Manual
- 4.2 ISO 9001: 2008 Standard
- 4.3 Quality Management Manual


#### **5.0 Principal Responsibilities**

The Director of Research has the overall responsibility to ensure effective implementation of this procedure.

#### **6.0 Method**

- 6.1 The Director of Research shall call for concept papers to be submitted to the department by a set date.
- 6.2 The concept papers shall be sent to the members of the CUEA Research Committee for evaluation after the set date.
- 6.3 The chairperson of the Research Committee shall convene a meeting within one week after the closing date for submissions to evaluate the concept papers in accordance with the established guidelines.
- 6.4 The Director of Research shall communicate the decision of the RC within 14 days after the meeting.
  - 6.4.1 The authors of concept papers that meet the criteria shall attend a one-day research proposal development workshop and proceed to develop their proposals.
  - 6.4.2 The authors of concept papers that are unsuccessful shall receive appropriate comments for revision.
- 6.5 Within one month of the proposal development workshop, researchers shall submit proposals to the Director of Research.
- 6.6 Director of Research shall send the proposals to the RC within 2 weeks.
- 6.7 The RC shall evaluate the proposals using the approved evaluation criteria. The committee shall also allocate funds to the successful research projects.

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- 6.8 The Director of Research shall notify the successful researchers of the research grants awarded.
- 6.9 Researcher(s) shall sign a contract with the DoR (CUEA/DVC ACD/DOR/01/fm01) which states the terms of the grants and timeline (see Appendix B). A copy of the contract and the budget for each project shall be submitted to the Finance Department for processing of the funds.
- 6.10 The principal researcher shall submit quarterly progress reports (CUEA/DVC ACD/DOR/01/fm02).
- 6.11 The Director of Research shall evaluate the progress reports and advise the researchers accordingly.
- 6.12 Researcher(s) shall submit to the Director of Research a copy of their research findings as draft research report after fieldwork within 12 months.
- 6.13 Research findings shall be disseminated to the university community through dissemination workshops organized by the DoR.
- 6.14 After dissemination, the researcher shall be required to make corrections (if any) from recommendations made during dissemination.
- 6.15 Copies of final reports of research projects written using university project format (CUEA/DVC ACD/DOR/01/fm03) shall be submitted to CUEA PRESS for publishing.

## **7.0 APPENDICES**

- 7.1 Appendix A: Contract Form
- 7.2 Appendix B: Progress Report Form
- 7.3 Appendix C: Research Report Format

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## APPENDIX A: CONTRACT FORM

### AGREEMENT BETWEEN THE CATHOLIC UNIVERSITY OF EASTERN AFRICA (Hereinafter “The Sponsor”)


and

«Lead\_Researcher»  
(Hereinafter “The Researcher”)

### FOR THE AWARD OF A RESEARCH GRANT UNDER Faculty Research Grant

1. The Sponsor agrees to provide the researcher Kshs «Amount AwardedKshs» («Amount\_in\_Words») for the purpose of conducting research on «Project\_Title».
2. The grant is given for a period of one year effective from the date of signing of this Agreement. (See timeline dates on page 4 of the contract)
3. The Researcher is expected to submit progress reports to The Department of Research every three months after the signing of the Agreement. The reports should describe the Researcher’s activities and accomplishments, in accordance with the approved research proposal during the period covered by the report.
4. The Researcher is also expected to submit a financial report for the same period stated in clause 3. The financial report should be a general accounting of the actual funds paid to the Researcher according to the budget categories of the award.
5. The sponsor shall pay the installments for the research done subject to the research work meeting the required minimum standards provided by the research committee. The sponsor further has the right to demand a refund of the sponsorship fee on the ground that the progress report is unsatisfactory and that the work is substandard.
6. The Researcher shall present the appropriate receipts for all the expenditures made during the course of the research project.
7. The funds shall be disbursed according to the following schedule:
  - (a) The budget (after deduction of the honorarium) should be disbursed as follows:
    - (i) First installment (60%) Kshs «M\_60Amount\_for\_1st\_Phase» upon signing of the agreement

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(ii) Second installment (40%) Kshs «**M\_40Amount\_for2nd\_Phase**» upon submission and dissemination of the interim research report at a workshop organized by the Department of Research


(b) The Researcher's honorarium Kshs «**Honorarium\_per\_Project**» per research project shall be given only after the submission of the final research report, which incorporates the comments given during the dissemination workshop organized by the Sponsor.

8. The researcher will receive honorarium for the final report only after the sponsor deems it ready for publication. It will therefore be essential for the researcher to work with the Department of Research to ensure that the report is ready or he/she will be required to forfeit the honorarium.
9. The research report to be submitted at the end of the Researcher's research project shall be according to the approved format.
10. The contents and form of the final research manuscript should reflect serious, original and internationally accepted standard.
11. The final research manuscript shall have to be submitted in accordance with the APA system.
12. The Researcher shall refrain from any act of plagiarism or other forms of academic dishonesty.
13. The Researcher agrees to acknowledge the financial assistance provided by the Sponsor in the final research manuscript and in any other subsequent publications that may arise out of this research project.
14. The Researcher agrees that any violation of the terms of this Agreement shall be sufficient cause for forfeiting any funds outstanding and that the sponsor can take all necessary measures (including legal) to regain the disbursed funds if the final report is not submitted in an acceptable form within the agreed date of submission.
15. The Researcher covenants not to solicit or receive by way of grant, support, top-up or otherwise any other fund from any other organization (other than the Sponsor) to conduct researcher on the theme proposed in this Agreement.
16. The Researcher fully agrees to assign full copyright of the results of the research conducted in accordance with this Agreement to the Sponsor.
17. This Agreement shall be governed by Kenyan Laws. In case a dispute arises between the parties, the Kenyan Courts shall have exclusive jurisdiction.

\_\_\_\_\_  
Signature for the Sponsor

\_\_\_\_\_  
Signature for the Researcher/team leader

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**Director of Research, CUEA**

\_\_\_\_\_  
 Full Name of the Director  
**Director of Research, CUEA**

\_\_\_\_\_  
 Full Name of the Researcher/team leader

Date \_\_\_\_\_  
 Day-month-year


Date \_\_\_\_\_  
 Day-month-year

Place \_\_\_\_\_

Place \_\_\_\_\_

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**APPENDIX B: PROGRESS REPORT FORM**

<b>Research, Project &amp; Activities</b>	<b><i>The Catholic University of Eastern Africa</i></b>
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Department of Research  
*Progress Report Form*  
 (to be completed by Project Head)

**PROJECT DETAILS**

Name: \_\_\_\_\_ Department: \_\_\_\_\_

Faculty: \_\_\_\_\_

Project Title: \_\_\_\_\_

**REPORT DETAILS**

**1. What activities are you currently carrying out?**

- (a) \_\_\_\_\_
- (b) \_\_\_\_\_
- (c) \_\_\_\_\_
- (d) \_\_\_\_\_
- (e) \_\_\_\_\_

**2. What activities have you completed?**

- (a) \_\_\_\_\_
- (b) \_\_\_\_\_
- (c) \_\_\_\_\_
- (d) \_\_\_\_\_
- (e) \_\_\_\_\_


**3. What are the pending activities?**

- (a) \_\_\_\_\_
- (b) \_\_\_\_\_
- (c) \_\_\_\_\_
- (d) \_\_\_\_\_

**4. What challenges have you faced in implementing project activities?**

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

**5. Please give a summary of the project’s future plans**


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

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

<b><u>Departmental Use Only</u></b>	
<p>Received by: _____</p> <p>Signed: _____ Date: _____</p>	

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## APPENDIX C: RESEARCH REPORT FORMAT



# The Catholic University of Eastern Africa (AMECEA) CUEA Research Report Format

### **Preliminary Pages**

*Abstract*

*Acknowledgements*

*Table of Content*

*List of Tables*

*List of Figures*

*Acronyms*

### **Chapter One**

#### **INTRODUCTION**

- 1.1 Background to the Problem
- 1.2 Statement of the Problem
- 1.3 Research Questions
- 1.4 Hypotheses
- 1.5 Significance of the Study
- 1.6 Scope and Delimitations of the Study
- 1.7 Theoretic Framework
- 1.8 Conceptual Framework
- 1.9 Operational Definitions of Terms

### **Chapter Two**

#### **LITERATURE REVIEW**

- 2.1 Critical Review of Theories
- 2.2 Gap in the Theories
- 2.3 Critical Review of Empirical Studies, Gaps, Contradictions and Inconsistencies in the Literature Reviewed

### **Chapter Three**

#### **METHODOLOGY**

- 3.1 Research Design
- 3.2 Target Population
- 3.3 Description of the Sample and Sampling Procedures
- 3.4 Description of Data Collection Instruments
- 3.5 Description of Data Collection Procedures
- 3.6 Description of Data Analysis Procedures

### **Chapter Four**

#### **PRESENTATION, DISCUSSION AND INTERPRETATION OF THE FINDINGS**


- Presentation the findings
- Discussion of the findings
- Interpretation of the Findings of the Study

### **Chapter Five**

#### **SUMMARY, CONCLUSIONS AND RECOMMENDATIONS**

- 5.1 Summary
- 5.2 Conclusions
- 5.3 Recommendations

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**References**

- APA Style

**Appendices**

- Instruments used

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