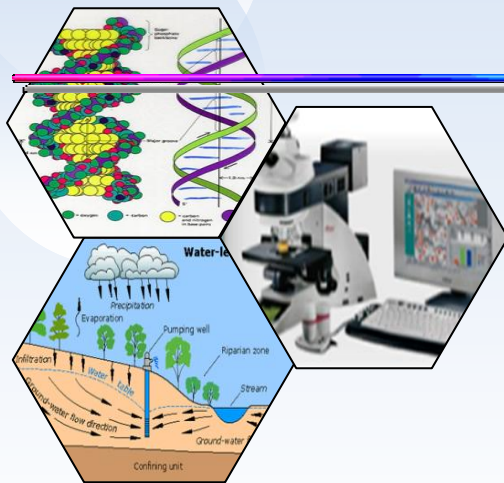




# THE NELSON MANDELA AFRICAN INSTITUTION OF SCIENCE AND TECHNOLOGY

## RESEARCH AND INNOVATION POLICY (RIP)



November, 2013

## Table of Contents

<b>STATEMENT BY THE VICE CHANCELLOR.....</b>	<b>VII</b>
<b>ACRONYMS AND ABBREVIATIONS .....</b>	<b>IX</b>
<b>INTERPRETATIONS OF TERMS.....</b>	<b>X</b>
<b>CHAPTER 1.....</b>	<b>1</b>
<b>INTRODUCTION .....</b>	<b>1</b>
1.0 Background	1
1.1 NM-AIST Vision	2
1.2 NM-AIST Mission	2
1.3 General Objects	2
1.4 Specific Objects	2
1.5 Situation Analysis	2
1.6 Rationale for the Research and Innovation Policy	3
1.7 Goal of the Research and Innovation Policy	3
1.8 Objectives of the Policy	3
1.9 Scope of the Policy	4
1.10 Guiding Principles .....	4
1.12 Policy Issues and Policy Statements	4
<b>CHAPTER TWO.....</b>	<b>6</b>
<b>RESEARCH COORDINATION.....</b>	<b>6</b>
2.1 Policy issue	6
2.2 Policy objective	6

2.3	Policy Statements	6
2.4	Operational Procedures	6
<b>CHAPTER THREE .....</b>		<b>9</b>
<b>SOURCING OF RESEARCH FUNDS.....</b>		<b>9</b>
3.1	Policy issue	9
3.2	Policy objective	9
3.3	Policy Statements	9
3.4	Operational Procedures	9
<b>CHAPTER FOUR.....</b>		<b>11</b>
<b>RESEARCH PERSONNEL.....</b>		<b>11</b>
4.1	Policy issue	11
4.2	Policy Objective	11
4.3	Policy Statements	11
4.4	Operational Procedures	11
<b>CHAPTER FIVE.....</b>		<b>13</b>
<b>LABORATORY AND EQUIPMENT CAPACITY.....</b>		<b>13</b>
5.1	Policy issue	13
5.2	Policy objective	13
5.3	Policy Statements	13
5.4	Operational Procedures	13
<b>CHAPTER SIX .....</b>		<b>15</b>
<b>RESEARCH SUPPORTING ENVIRONMENT</b>		<b>15</b>
6.1	Policy issue	15

6.2	Policy objective	15
6.3	Policy Statements	15
6.4	Operational Procedures	15
<b>CHAPTER SEVEN .....</b>		<b>17</b>
<b>RESEARCH PRIORITIES .....</b>		<b>17</b>
7.1	Policy issue	17
7.2	Policy objective	17
7.3	Policy Statements	17
7.4	Operational Procedures	17
<b>CHAPTER EIGHT .....</b>		<b>18</b>
<b>RESEARCH CULTURE .....</b>		<b>18</b>
8.1	Policy issue	18
8.2	Policy objectives	18
8.3	Policy Statements	19
8.4	Operational Procedures	19
<b>CHAPTER NINE.....</b>		<b>20</b>
<b>INTEGRITY AND ETHICS IN RESEARCH .....</b>		<b>20</b>
9.1	Policy issue	20
9.2	Policy objective	20
9.3	Policy Statement	20
9.4	Operational Procedures	20

<b>CHAPTER TEN.....</b>	<b>23</b>
<b>DISSEMINATION OF RESEARCH RESULTS.....</b>	<b>23</b>
10.1 Policy issue	23
10.2 Policy objective	23
10.3 Policy Statement	23
10.4 Operational Procedures	24
<b>CHAPTER ELEVEN.....</b>	<b>25</b>
<b>GENDER MAINSTREAMING .....</b>	<b>25</b>
11.1 Policy issue	25
11.2 Policy objective	25
11.3 Policy Statements	25
11.4 Operational Procedures	26
<b>CHAPTER TWELVE .....</b>	<b>27</b>
<b>INTELLECTUAL PROPERTY .....</b>	<b>27</b>
12.1 Policy issue	27
12.2 Policy objective	27
12.3 Policy Statements	27
12.4 Operational Procedures	28
<b>CHAPTER THIRTEEN .....</b>	<b>29</b>
<b>POLICY IMPLEMENTATION FRAMEWORK .....</b>	<b>29</b>
<b>CHAPTER FOURTEEN .....</b>	<b>30</b>
<b>GUIDELINES AND REGULATIONS .....</b>	<b>30</b>

<b>14.1</b>	<b>Research grants administered or funded by NM-AIST</b>	<b>30</b>
<b>14.2</b>	<b>Application for Research grants administered or funded by NM-AIST</b>	<b>30</b>
<b>14.3</b>	<b>Progress reports for Research grants</b>	<b>31</b>
<b>14.4</b>	<b>Publication and dissemination of research results</b>	<b>32</b>
<b>14.5</b>	<b>Equipment purchased from research funds</b>	<b>33</b>
<b>14.6</b>	<b>Administrative Costs for Research Grants</b>	<b>34</b>
<b>14.7</b>	<b>Subsistence, Per-diems, other allowances and reimbursements</b>	<b>36</b>
<b>14.8</b>	<b>Remuneration and Allowances</b>	<b>36</b>
<b>14.9</b>	<b>Research Chairs</b>	<b>38</b>
<b>14.10</b>	<b>Research Associateship Scheme</b>	<b>38</b>
<b>14.11</b>	<b>Research and Innovation Committee</b>	<b>38</b>
<b>14.12</b>	<b>Revenues from research projects and activities</b>	<b>38</b>
<b>4.13</b>	<b>Guidelines to Research Associateship</b>	<b>39</b>
<b>14.14</b>	<b>Formation and composition of the human ethics review Committee</b>	<b>42</b>
<b>14.15</b>	<b>Formation and composition of the animal ethics review Committee</b>	<b>42</b>
<b>CHAPTER FIFTEEN</b>	<b>.....</b>	<b>43</b>
<b>APPENDICES</b>		<b>43</b>
<b>Appendix 1: Format for research project registration</b>		<b>43</b>
<b>Appendix 2: Form for application of internal research grant</b>		<b>44</b>
<b>Appendix 4: Format for Research Progress Report</b>		<b>46</b>
<b>Appendix 5: Application for Research Associateship Form</b>		<b>48</b>

## **STATEMENT BY THE VICE CHANCELLOR**

The Nelson Mandela African Institution of Science and Technology (NM-AIST) Research and Innovation Policy has been formulated in order to guide smooth conduct of research and innovation activities at the institution so as to properly respond to the national, regional and global challenges in science, engineering and technology. Being the first policy document addressing Research and Innovation at NM-AIST, there is an imminent challenge of ensuring that the institutional Motto of Academia for Society and Industry is realized. The formulation of this policy is therefore, a clear indication of the commitment NM-AIST puts on Research and Innovation. This is therefore an important landmark in the history of NM-AIST in initiating smooth conduct of research and innovation in line with the vision and mission of the institution. Being a Research-One Institution, the Research and Innovation Policy is an invaluable tool for researchers, students and management in enhancing the execution of research activities emphasizing innovations and technology transfer for economic growth and sustainable development.

In developing this document, various policies were referred to including the Higher Education Policy, Industry and Energy Policy, Commission for Science and Technology Research Priority areas, the National Institute for Medical Research priority areas and research policy documents from other higher learning institutions within and outside Tanzania.

This policy document is a useful handbook that will guide researchers and other collaborators when developing and conducting research at NM-AIST. The document will also be of great use by the policy makers and funding organizations as a source of information and a reference material for engagement or support of research activities at the NM-AIST. The Research and Innovation Policy will be reviewed after every five years, or at any other time as seen fit by the Council, to keep pace with the fast changing global scientific and technological developments.

On behalf of the Management of the Institution, I wish to thank all those who participated in one way or the other in the preparation of this document. The commitment of the committee that spearheaded the preparation of this policy and all the staff in the Research and Innovation Office is highly commended and appreciated for their efforts in making this policy a reality.

Prof. Burton M.L. Mwamila

**Vice Chancellor**

**September, 2013**



## **ACRONYMS AND ABBREVIATIONS**

CBOs	Community Based Organizations
Co-PI	Co-Principal Investigator
DVC-ARI	Deputy Vice Chancellor – Academic, Research and Innovation
DVC-PFA	Deputy Vice Chancellor – Planning, Finance and Administration
GDP	Gross Domestic Product
IPP	Intellectual Property Policy
LGAs	Local Governmental Authorities
MTEF	Medium Term Expenditure Framework
NGOs	Non-Governmental Organizations
NM-AIST	Nelson Mandela African Institution of Science and Technology
NSGRP	National Strategy for Growth and Reduction of Poverty
PI	Principal Investigator
RIC	Research and Innovation Committee
S&T	Science and Technology
SET	Science, Engineering and Technology
STI	Science, Technology and Innovation
VC	Vice Chancellor

## INTERPRETATIONS OF TERMS

Animal Ethics Review Committee	This is an Institutional Committee responsible for approval, monitoring and reviewing researches involving animals.
Biosafety	Include practices, procedures, and use of equipment needed to ensure adequate safety conditions in all facilities that work with potentially infectious microorganisms and other biological hazards.
Data security	Data security is the practice of keeping data protected from corruption and unauthorized access. The focus behind data security is to ensure privacy while protecting personal or corporate data.
Entrepreneur	Refers to an individual who organizes and operates a business or businesses, taking on financial risk to do.
Ethics	These are norms for conduct that distinguish between acceptable and unacceptable behaviour.
Faculty	Refers to the academic staff of a University and/or researchers.
Human Ethics Review Committee	Institutional Committee responsible for approval, monitoring and reviewing researches involving humans.
Incubator	A company or facility designed to foster entrepreneurship and help startup companies, usually technology-related, to grow through the use of shared resources, management expertise, and intellectual capital.

Innovation	The process of translating an idea or invention into a good or service that creates value or for which customers will pay .
Licensing	The granting of permission to use intellectual property rights, such as trademarks, patents, or technology, under defined conditions.
Patent	An exclusive right given by law to inventors to make use of, and exploit, their inventions for a limited period of time.
Policy	A principle or rule to guide decisions and achieve rational outcomes. A policy is a statement of intent, and is implemented as a procedure or protocol.
Post-doctoral Scholar (Postdoc)	An individual holding a doctoral degree who is engaged in a temporary period of mentored research and/or scholarly training for the purpose of acquiring the professional skills needed to pursue a career path of his or her choosing.
Research	Refers to systematic investigation into and study of materials, sources, etc, in order to establish facts.
Research and Innovation Committee	This is a Senate sub-committee formally designated to approve, monitor, and review proposals, progress, reports and output of research and innovation at the institution
Research Associate	This is a research position at a university, research facility or similar institution. A Research Associate

	usually conducts research under the supervision of a Principal Investigator, although there is a lot of variability in the degree of independence.
Research Ethics	Research ethics involves the application of fundamental ethical principles to scientific research practices.
Science	Science is the pursuit and application of knowledge and understanding of the natural and social world following a systematic methodology based on evidence.
Spinning-off	Is an engagement leading to having a by-product of something preexisting, as a program of research or technological development.
Technology	Refers to the application of scientific knowledge for practical purposes. It also implies machinery, equipment or other products developed from such scientific knowledge. The goal of technology is to create products that solve problems and improve human life.
Visiting Scientists	Scientists from universities other than their home institutions who decide to visit other universities to have interactions with scientists, colleagues and students and have access to university research resources, facilities and faculty, not otherwise available to the public.

# CHAPTER 1

## INTRODUCTION

### 1.0 Background

The Nelson Mandela African Institution of Science and Technology (NM-AIST) was established in 2009 under the Tanzania's University Act, 2005. It is one in a network of Pan-African Institutes of Science and Technology located across the continent. The African Institutes of Science and Technology (AIST) concept was conceived by the former South African President Nelson Mandela as a mechanism to develop the next generation of African scientists, engineers and technologists, who will impact on the continent's development through the application of science, engineering and technology (SET).

To achieve in Science, Engineering and Technology, different researches into different scientific disciplines have to be done extensively to generate the knowledge base and justification for every endeavour in technology transfer. However, this is well achieved in the presence of a well formulated research policy which is guided by the University vision. In that way, research conducted at NM-AIST will fit into the overall short and long terms plans of the institution in order to bring about a holistic and coordinated impact. The NM-AIST vision is in line with a number of government policies and strategies including the Tanzania vision 2025, the Agricultural Sector Development Program, the Integrated Industrial Development Strategy and the Property and the Business Formalization Program as well as regional and international organizations such as the East African Community, African Union and the United Nations Educational, Scientific and Cultural Organization (UNESCO). The NM-AIST research policy is prepared to meet this envisioned need.

NM-AIST aims to become a research-one institution and this is reflected in the objectives of the University as well as the vision and mission as stated in the Institution charter.

## **1.1 NM-AIST Vision**

To become a world class institution of higher learning dedicated to pursuit and promotion of excellence in science and engineering and their application for economic growth and sustainable development in Africa.

## **1.2 NM-AIST Mission**

To deliver and promote high quality and internationally competitive teaching and learning, research and innovation, and public service in science, engineering and technology leverage on entrepreneurship for enhanced value addition to people and natural resources, with a view to stimulating, catalysing and promoting economic growth and sustainable development in Tanzania and Sub-Saharan Africa.

## **1.3 General Objects**

The general objects of the institution are the advancement of knowledge and creativity; the diffusion and extension of the science and technology; the provision of higher education, research and innovation that incorporates outreach and public service; and, so far as is consistent with those objects, the nurturing of the intellectual, aesthetic, social and moral growth of the students at the University.

## **1.4 Specific Objects**

To advance learning and knowledge aiming at producing high quality scientists and engineers through teaching and learning, research and innovation, extension and public service in science, engineering and technology, business studies and humanities, and their applications for sustainable socio-economic development in Tanzania and Sub-Saharan Africa.

## **1.5 Situation Analysis**

NM-AIST was established in 2009. To date, there have been few research activities most of which are MSc and PhD Student research projects using funds provided through their scholarships. It is the desire of the institution that research activities intensify and that the flow of research funds through competitive grant applications increases. Furthermore, since NM-AIST is committed to apply academic and research outputs for the development of the Society and Industry it is understood that there are

issues in society and industry that need to be addressed by researches conducted at NM-AIST. This is therefore an opportune moment to deliberate on the Research and Innovation Policy that will propel research including ways to promote research resource mobilization, research management and coordination, ensuring relevance to the society and industry, quality, integrity and ethics as well as encouraging inventions and exploitations of innovations into commercial products or businesses.

### **1.6 Rationale for the Research and Innovation Policy**

There is currently no operational research policy to provide guidance to research and innovation activities. The initial few on-going research activities were carried out without having in place an approved, documented and well formulated policy. It is expected that this policy will improve research organization and management, stimulate research resource sourcing, guide the relevance and responsiveness of research, ensure quality and ethical conduct, and increase dissemination of research outputs.

### **1.7 Goal of the Research and Innovation Policy**

The goal of the NM-AIST research policy is to strengthen research capacity and output, and guide and accelerate the generation and application of knowledge in SET, leading to wealth creation and sustainable people's development.

### **1.8 Objectives of the Policy**

- (a) To create a conducive environment for research and innovations.
- (b) To enhance research management and coordination.
- (c) To improve research and publications culture.
- (d) To improve funding for research and innovations.
- (e) To enhance gender responsiveness of the University through research and Innovations.
- (f) To foster research culture and ethics, including protection of research subjects, safeguarding the environment, acknowledging work done by others, copyrights and patents, integrity and honesty in arriving at research results.

- (g) To ensure that research activities are in line with the vision and mission of the institution and also respond to national and international research priorities.
- (h) To promote the prioritization of research activities towards addressing challenges of industry and society

## **1.9 Scope of the Policy**

The Research and Innovation policy will be limited to issues pertaining to Research and Innovation including patents, copy right, intellectual property and commercialization of intellectual property. The policy shall apply to all staff and students of NM-AIST and all users of its diverse resources for research.

## **1.10 Guiding Principles**

The NM-AIST Research and Innovation Policy is steered by the following guiding principles;

- (a) Multi-sectorial approach
- (b) Responsiveness to needs and problems of the society and industry
- (c) National development objectives
- (d) Policy harmony
- (e) Promoting innovation and scientific excellence
- (f) Regional integration
- (g) International obligations
- (h) Safety and health
- (i) Gender and equity
- (j) Private sector involvement
- (k) Competitiveness
- (l) Research ethics

## **1.12 Policy Issues and Policy Statements**

Given that the objective of research policy is to provide guidance to ensure proper conduct in research and to develop capacity to generate new knowledge that will have strong impact on society, the policy outlines a number of strategies and procedures for



implementation. Where appropriate, the strategies are supplemented with additional documents which provide more details on processes and procedures to be followed. These documents are appended at the end of the document as Guidelines or Appendices.

The NM-AIST Research and Innovation policy will give directives on policy issues, policy statements and operational procedures pertaining to the following issues;:

- (a) Research coordination
- (b) Sourcing of research funds
- (c) Research personnel
- (d) Laboratory and equipment capabilities
- (e) Research supporting environment
- (f) Institutional research priorities
- (g) Research culture
- (h) Integrity and ethics
- (i) Dissemination of research results
- (j) Gender mainstreaming
- (k) Intellectual property

## **CHAPTER TWO**

### **RESEARCH COORDINATION**

#### **2.1 Policy issue**

Research challenges are multidimensional and hence require multidimensional solutions. This cannot be done without a proper organ that will coordinate and harmonize all research activities including planning, sourcing of research funds, budgeting, implementation, monitoring, evaluation and reporting.

#### **2.2 Policy objective**

To ensure that NM-AIST has an organ and mechanisms in place for coordination of all research activities including planning, proposal writing, searching for sources of funding, research implementation, monitoring and evaluation and reporting of research results.

#### **2.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall:

- (a) Mandate the DVC-ARI to coordinate all research activities including planning, proposal writing, searching for sources of funding, research implementation, monitoring and evaluation and reporting of research results.
- (b) Establish the Research and Innovation Committee to assist DVC-ARI in research coordination.
- (c) Establish subcommittees at School and Department levels to coordinate research and innovation activities

#### **2.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will:

- (a) Mandate and empower the DVC-ARI to manage, promote research activities and oversee the day to day implementation of the Research and Innovation policy.
- (b) Establish external links with:
  - (i) Other institutions of higher learning within and outside the country for collaborative research projects and funding.
  - (ii) Development sectors such as manufacturing, industries, agriculture, water, energy and minerals, environment and the private sector to establish research needs and priorities, the users of research findings for development and for research funding.
  - (iii) International Organizations for collaborative research and funding.
- (c) Establish the Research and Innovation Committee as one of the sub-committees of the Senate. Mandate the Research and Innovation Committee to:
  - (i) Advice on all research and approve all research applications and expedite research and processing approval, advice on plans and budgets.
  - (ii) Make sure that all research projects are monitored and evaluated to ensure scholarships in NM-AIST's research undertaking are adhered to and that research goals are achieved.
  - (iii) Ensure that Schools and Departments hold annual or bi-Annual scientific conferences where results of research activities in all Schools and Departments will be presented. All expenses shall be approved by the NM-AIST management.
  - (iv) Oversee the establishment of relevant Committees at the School and Department levels which will oversee research and innovation matters at those levels.

- (v) Receive and evaluate reports from relevant School and Department sub-committees for the purpose of monitoring and evaluating research projects.
- (vi) Coordinate Schools/Departments sub-committees' independent evaluations of research project during or at the end of the each project.
- (vii) Provide guidelines for approval and monitoring of research activities at NM-AIST
- (viii) Establish a special expenditure code for research activities or research projects.
- (ix) Advise and coordinate the formation of and activities of the human and animal ethics review committees.

## **CHAPTER THREE**

### **SOURCING OF RESEARCH FUNDS**

#### **3.1 Policy issue**

Funding is the most critical constraint in research performance. The policy realizes the importance of securing sufficient funds for staff members to conduct meaningful research, to attend national and international meetings, and to contribute to the research income of the university. It is envisaged that the strategies highlighted hereunder will improve funding for research and innovations.

#### **3.2 Policy objective**

To ensure availability of adequate research funding at NM-AIST through increased awareness of funding opportunities, increased grant applications and motivating successful applicants.

#### **3.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall;

- (a) Facilitate the formation of multidisciplinary research teams and application for research grants from various funding agencies to continue to solicit research funds from diverse sources of funding.
- (b) Ensure that researchers receive timely information about research funding opportunities.
- (c) Establish an incentive package for awarding researchers who succeed in winning research grants.

#### **3.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will:

- (a) Encourage individual researchers, faculties and institutes to solicit funds from alternative sources.

- (b) Provide general information to staff on research opportunities, sources of funding, and mode of applications.
- (c) Enhance visibility/recognition of NM-AIST by national and international institutions to promote formation of research consortiums.
- (d) Lobby, in collaboration with other research institutions for an increased share of the national financial resources allocated for research.
- (e) Encourage demand-driven and multi-disciplinary research for maximum impact.
- (f) Reward researchers who succeed in winning grants by awarding them 2% of the administrative fee from the research grant as incentive..
- (g) Solicit “institutional” research funds from within and from external sources.
- (h) Establish a Grants Office and Proposal Writing Fund to facilitate writing of institutional grants.
- (i) Engage the private sector to contribute towards research and innovations through: Contract research
  - (i) Sponsoring of research chairs
  - (ii) Through joint ventures, licensing, patents and trademarks
- (j) Subscribe to databases that provide information on funding opportunities.
- (k) Require that all research projects contribute 15% of awarded grant, which will be used for overhead/indirect costs and financing seed grant for young researchers. However this rate will be reviewed by the Research and Innovation Committee from time to time. Flexibility will be considered for funding agencies that restrict overhead costs to less than 15%.
- (l) Encourage Visiting Researchers with research grants to come and conduct their research in the Institutions’ laboratories/facilities

# CHAPTER FOUR

## RESEARCH PERSONNEL

### 4.1 Policy issue

The policy realizes that the success of research and innovation depends largely on the adequacy and appropriateness of human resource. The level and discipline of training, the research experience, the motivation, innovativeness and adaptation to the dynamic world of science are essential ingredients of a successful research team. It is envisaged that the strategies highlighted hereunder will improve the productivity of research personnel.

### 4.2 Policy Objective

To ensure NM-AIST has the right number and right kind of researchers at the right time to ensure efficient and effective research productivity

### 4.3 Policy Statements

The Nelson Mandela African Institution of Science and Technology shall:

- (a) Recruit adequate numbers of researchers who are well trained in disciplines that are appropriate for successfully carrying out the Institution's mission and vision.
- (b) Train young researchers to become future research team leaders.
- (c) Establish an incentive scheme as strategy for retaining good researchers to ensure continuity of research programs.

### 4.4 Operational Procedures

The Nelson Mandela African Institution of Science and Technology will:

- (a) Establish a database management system which shows a list of research staff and their respective research areas.

- (b) Establish a researcher retention scheme that can attract research talents at the University.
- (c) Involve the postgraduate students in research activities.
- (d) Encourage Postdocs schemes
- (e) Develop research skills training programs for both students and staff.
- (f) Utilize research staff in the areas of their competence.
- (g) Prepare guidelines for promoting and enhancing teamwork and multi-disciplinary research.
- (h) Maintain a good balance between teaching and research.
- (i) Develop support systems for new researchers and especially female researchers to enhance their capacities in research activities.



## **CHAPTER FIVE**

### **LABORATORY AND EQUIPMENT CAPACITY**

#### **5.1 Policy issue**

The quantity and quality of research facilities such as laboratories and research equipment are one of the major drivers of research productivity. The policy recognizes that enhancing the research facilities and fostering optimal use of available facilities will bring an enabling environment for enhanced research and innovation activities.

#### **5.2 Policy objective**

To ensure that NM-AIST has appropriate quantity and quality of research facilities that will sustain productive research.

#### **5.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall:

- (a) Strive to provide adequate and appropriate research facilities.
- (b) Promote optimal utilization of available research facilities and equipment.
- (c) Ensure that research facilities and equipment are well maintained for optimal performance and sustainability.

#### **5.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will:

- (a) Allocate physical space for research facilities.
- (b) Ensure that tools and equipment for facilitation of research activities are available.
- (c) Seize opportunities for laboratory capacity building availed by local and foreign institutions and private companies.
- (d) Encourage and incentivize proposals that budget for laboratory equipment.

- (e) Encourage the sharing of research laboratories and equipment's for optimal use.
- (f) Ensure that capacity to maintain the state of the art equipment is developed e.g. through enhanced training of technical staff and users.
- (g) Ensure that research equipment and other resources acquired during the life of any research project becomes the property of the University at termination of the project.
- (h) Provide guidelines for use of equipment (including bench fees) and disposal of such resources.
- (i) Establish an inventory of all research facilities including equipment at the institution.
- (j) Encourage companies (foreign and local) to build research facilities at NM-AIST.
- (k) Provide office space for research chair/Director

# **CHAPTER SIX**

## **RESEARCH SUPPORTING ENVIRONMENT**

### **6.1 Policy issue**

Research activities at NM-AIST are expected to grow and produce findings that are useful for socio-economic development in Tanzania and Sub-Saharan Africa. This is possible when there is a research support environment both for the staff and students to conduct researches. The necessary research environment requires: appropriate remuneration to researchers, research funds, research facilities such as modern information management system, access to web based database and opportunities for the dissemination and publishing of research information.

### **6.2 Policy objective**

To establish an environment that will stimulate and promote research productivity through provision of incentives to researchers, availability of communication facilities to allow access to and sharing of information as well and promote diffusion of research findings.

### **6.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall:

- (a) Establish and maintain an enabling research environment that promotes innovation, production and stimulate exchange of ideas within the institution and with the outside world.

### **6.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will:

- (a) Support Schools/Departments to formulate research agenda in their field of specialization based on the Institution's Strategic Plan.
- (b) Allow researchers to include salary top-ups in research budgets as compensation for extra duty associated with the implementation of the

project. The level of top up will depend on agreement with the funding organization.

- (c) Link researchers to international and internal forums to establish networks and collaborative activities.
- (d) Create an institutional culture of supporting research, provide research management allowances and procure research tools and stationeries.
- (e) Develop research skills through training workshops/seminars.
- (f) Link researchers with the users of research findings such as industries, policy makers and implementers through workshops.
- (g) Strengthen linkages with Non-Governmental Organizations (NGOs), Community-Based Organizations (CBOs), and Local Governmental Authorities (LGAs).
- (h) Strengthen linkages with relevant ministries and Government agencies.
- (i) Recognize researchers for their respective work through incentives such as awards and promotion.

# CHAPTER SEVEN

## RESEARCH PRIORITIES

### 7.1 Policy issue

The Research and Innovation Policy recognizes that the NM-AIST research agenda is instrumental in orienting research towards the goals of the Institution. The research agenda need to be based on the institution's vision, mission and rolling strategic plans. It is hoped that the following strategies will help formulate and operationalize the research agenda.

### 7.2 Policy objective

To ensure that researches conducted at NM-AIST are guided by the Institutional and national priorities.

### 7.3 Policy Statements

The Nelson Mandela African Institution of Science and Technology shall;

- (a) Develop the NM-AIST Research Agenda
- (b) Ensure that the Research Agenda is in line with institutional and national priorities.

### 7.4 Operational Procedures

The Nelson Mandela African Institution of Science and Technology will;

- (a) Ensure that Schools/Departments formulate research priorities that will feed into the university research agenda.
- (b) Ensure that priorities identified reflect national research objectives, priorities and relevant international trends.
- (c) Ensure that the research agenda shall promote both basic and applied research.

# CHAPTER EIGHT

## RESEARCH CULTURE

### 8.1 Policy issue

Research culture is described as “a pattern of basic assumptions about research - invented, discovered, or developed by a given group as it learns to cope with the external and internal problems of research -that has worked well enough to be considered valid and therefore, to be taught to new members as the correct way to perceive, think and feel in relation to research. Research culture reflects the values, ideals and beliefs about research within the organization. They, in turn, are reflected in the research behaviors, research actions and research symbols of the organization”.

NM-AIST was established in 2009, hence there has not been sufficient time to develop a research culture. However, this is the right time to start developing an effective and successful research culture which will be imbued in Staff, students and visiting researchers.

### 8.2 Policy objectives

To ensure that NM-AIST develops a performance enhancing organizational research culture which is manifested by shared or common research values, behaviors and perceptions which will be passed from one generation of researchers and students to the next.

### **8.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall:

- (a) Establish an environment that will promote the development and maintenance of common or shared research values and behaviors that will catalyze productive research.

### **8.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will:

- (a) Ensure that the institutional vision, mission, research and innovation policy and research agenda are well understood and adhered to across the institution.
- (b) Learn from other institutions with established research history and effective research cultures.
- (c) Encourage inter-school problem solving sessions or brain storming.
- (d) Facilitate research proposal writing workshops or seminars involving all schools.
- (e) Encourage the development of interschool collaborative research teams.
- (f) Facilitate establishment of good laboratory practices.
- (g) Introduce a core research method course for all students.
- (h) Encourage and foster the attitude of profound and critical thinking amongst staff and students.
- (i) Educate staff and students on the research policy and procedures.
- (j) Introduce weekly research presentations at departmental level
- (k) Instruct staff and students to conduct such presentations at least once per year

# **CHAPTER NINE**

## **INTEGRITY AND ETHICS IN RESEARCH**

### **9.1 Policy issue**

The research and scholarly work of members of the Nelson Mandela African Institution of Science and Technology (NM-AIST) must be held in the highest regard and be seen as rigorous and scrupulously honest. Scholarly work is expected to be conducted in an exemplary fashion, be of high quality and ethical, promote safety for researchers and research facilities and contribute to the creation, application and refinement of knowledge. Stewardship of resources associated with research must be transparent and comply with all NM-AIST and funding agency policies and regulatory requirements.

### **9.2 Policy objective**

To ensure that research conducted at NM-AIST complies with principles of ethics, integrity, quality and safety.

### **9.3 Policy Statement**

The Nelson Mandela African Institution of Science and Technology will;

- (a) Mandate the Research and Innovation Committee to enforce the use of Research Governance regulations to ensure that research conducted at the institution adheres to research ethics, integrity, quality and safety.

### **9.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will;



- (a) Establish and operationalize the following Research Governance guidelines to make sure that research conducted at the institution adheres to the principles of Integrity, objectivity, accountability, openness, honesty, leadership and ethics. NM-AIST shall ensure the establishment and implementation of the following research governance guidelines;
  - (i) Responsible Conduct of Research guidelines
  - (ii) Biosafety guidelines
  - (iii) Data Security guidelines
  - (iv) Conflict of Interest guidelines
  - (v) Human Research Ethics guidelines
  - (vi) Animal Research Ethics guidelines
  - (vii) Procedures for addressing reported breaches of Responsible Conduct of Research regulations.
- (b) Mandate the Research and Innovation Committee (RIC) to enforce the Research Governance regulations. In this regard the RIC will;
  - (i) Ensure that anyone intending to conduct research at NM-AIST understands the respective Research Governance regulations before commencing his/her work.
  - (ii) Call upon all those engaged in research, and in particular those with a specific responsibility as research leaders, to observe and promote these principles irrespective of their sources of funding or their area of research.
  - (iii) Oversee the establishment and running of the institution's (NM-AIST) Human Ethics Review Committee and Animal Ethics Review Committee based on established laws.

(iv) Ensure that all research involving human and animal subjects are reviewed by the respective ethics review committees.

# **CHAPTER TEN**

## **DISSEMINATION OF RESEARCH RESULTS**

### **10.1 Policy issue**

By their very nature, universities are dedicated to the dissemination of research results, which reflects the university research contribution to community and industry. However, some research results may need to be kept confidential for a period of time to allow for the contracting body to consider whether to protect the intellectual property and to do so (by a provisional patent), prior to publication of the research material.

It is envisaged, however, that contracts should not include an indefinite right to defer publication of the results. Moreover, universities are occasionally requested by Government or other bodies to perform research where the results may be politically sensitive. If this happens, the university should not sign contracts which permit an indefinite embargo on publication, so a time limit should be included.

### **10.2 Policy objective**

To promote and enhance the diffusion of NM-AIST research outputs (publications and innovations) to target beneficiaries.

### **10.3 Policy Statement**

The Nelson Mandela African Institution of Science and Technology shall;

- (a) Promote the publication of research by Staff and Students.
- (b) Support and provide mechanisms for diffusion of innovations through technology transfer and commercialization

- (c) Facilitate forums for debates and discussion of research results both within and outside the institution.
- (d) Provide guidelines for the publication of research results.

## **10.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will;

- (a) Create platforms for staff and students to disseminate research outputs such as seminars and locally hosted journals, newsletters and bulletins (both hardcopy and electronic).
- (b) Support NM-AIST members to present/display research findings and innovations in external forums such as exhibitions, workshops and conferences.
- (c) Encourage and support processes for patent applications, technology transfer and incubation of innovations.
- (d) Support Schools/Departments to organize regular conferences.
- (e) Support regular public presentations and debates on topical areas of national or international concern.
- (f) Require staff and students to publish their findings in peer reviewed journals.
- (g) Require all research reports to be deposited with the University Library.

# **CHAPTER ELEVEN**

## **GENDER MAINSTREAMING**

### **11.1 Policy issue**

Considering that the participation of women in research has been very limited, the policy recognizes the need for gender-responsiveness through research and innovations. In addition to promoting enhanced participation of women in research and innovation, the policy also aims to ensure that there are no disparities on account of gender or other factors of inequality in accessing research resources and benefits from research results.

### **11.2 Policy objective**

To ensure the participation of women in research and eliminate any form of discrimination or inequity in research conducted at NM-AIST.

### **11.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall;

- (a) Promote gender-responsiveness through research and innovations.
- (b) Eliminate all forms of discrimination or inequity in research.

## **11.4 Operational Procedures**

The Nelson Mandela African Institution of Science and Technology will;

- (a) Provide equal opportunities for staff and students to be trained in research methodology.
- (b) Integrate gender in developing research project proposals.
- (c) Encourage involvement of women in research teams.

# **CHAPTER TWELVE**

## **INTELLECTUAL PROPERTY**

### **12.1 Policy issue**

The policy recognizes that research has a big role to play in the realization of the NM-AIST vision of providing solutions to problems facing society and industry. It is especially through innovations that NM-AIST research can have the highest impact. In this regard, the research policy intends to motivate, stimulate, capture and exploit the innovations through technology transfer and commercialization, amongst other possibilities.

### **12.2 Policy objective**

To ensure that NM-AIST motivates, stimulates, captures and exploits the innovations discovered or developed through research conducted at the institution.

### **12.3 Policy Statements**

The Nelson Mandela African Institution of Science and Technology shall;

- (a) Encourage staff and students to aim at developing research projects that will develop innovations.
- (b) Facilitate the identification and development of innovations for the benefit of the institution as well as the targeted society or industry.
- (c) Promote utilization of Intellectual Property information to promote research and innovation.

## 12.4 Operational Procedures

The Nelson Mandela African Institution of Science and Technology will;

- (a) Establish the Technology Transfer Office under the DVC-ARI Office to advice and co-ordinate all interactions with business and industry, and connect private sector such as Industry with NM-AIST researchers in applied research activities.
- (b) Mandate the Technology Transfer Office to help in assessing whether a research idea has commercial potential as well as providing support for patenting, licensing and spinning-off from research innovation.
- (c) Facilitate the establishment of Incubators/Technology Park to catalyze development of entrepreneurial companies as spin-off from research innovations.
- (d) Facilitate public private partnership (PPP).
- (e) Formulate Intellectual Property Policy (IPP) which will provide detailed guidance on all matters pertaining to patents emanating from research conducted at the institution or conducted by NM-AIST Researchers.



# CHAPTER THIRTEEN

## POLICY IMPLEMENTATION FRAMEWORK

### 13.1 Implementation

- (a) This policy shall be implemented and reviewed periodically by the Institution's Research and Innovation Committee.
- (b) This Policy shall be implemented or supplemented in any way consistent with its terms and those of other Institution policies.
- (c) This Policy shall not apply to on-going research projects and written agreements between the Institution and any external organization or individual, entered into prior to the date on which this Policy is adopted by the Institution Council.
- (d) If an existing written agreement is renewed, revised, or amended after the date on which this Policy is adopted by the University Council, reasonable attempts shall be made to conform such agreement to the requirements of this Policy as of the date on which it is renewed, revised, or amended.
- (e) After the adoption of this policy, the University Senate shall be responsible for drawing out implementation guidelines or procedures from time to time.

## **CHAPTER FOURTEEN**

### **GUIDELINES AND REGULATIONS**

#### **14.1 Research grants administered or funded by NM-AIST**

- (a) All research grants from various sources shall come under the jurisdiction of the Research and Innovation Committee.
- (b) All research projects and activities conducted under the auspices of NM-AIST and by staff of NM-AIST must be duly registered with NM-AIST and issued with an identifier registration number. This requirement shall apply regardless of the source and mode of funding. A form for research project registration is shown under Appendix 1.
- (c) Any exceptions to these conditions will have to receive consent from DVC-ARI.

#### **14.2 Application for Research grants administered or funded by NM-AIST**

- (a) All applications for research grants funded by NM-AIST shall be made using the prescribed format (Form for Application for Research Grant– Appendix 2).
- (b) All applications for research grants shall be submitted to the Research and Innovation Committee through Schools/Departments with their comments on the following:
  - (i) Relevance and importance of the research projects.
  - (ii) Competence of the applicant to undertake it.
  - (iii) Any other matter which the School/Department thinks would help the Research and Innovation Committee in making an appropriate decision on the application.

- (c) The Committee shall not consider any application from a person who is already in receipt of a grant from the same Committee, unless and until the Committee has already accepted satisfactory report on the previous grant.
- (d) The format for externally funded projects will depend on each individual donor format.
- (e) All grant Contract Agreements or Memoranda of Understanding between NM-AIST and the donor/collaborating partner shall be approved by the Vice Chancellor upon advice by the Legal counsel. Procedures for approval of externally funded projects are presented in (Appendix 3).

### **14.3 Progress reports for Research grants**

- (a) All research projects and/or activities conducted under the auspices of NM-AIST shall be required to file in annual progress reports for the period ending June of each year (Appendix 4). Such progress reports shall need to be received, discussed and approved by respective School/Department before submission to the DVC-ARI for onward presentation to Senate within the first quarter of the subsequent financial year.
- (b) For a project failing to submit annual progress report three months after the deadline shall have the processing of the respective project funds suspended until such a report is submitted. This includes granting permission to travel outside NM-AIST on such project activities.
- (c) In the case of NM-AIST funded projects, any balance of research grant not spent during the period for which they were awarded will not automatically be carried forward without the approval of the Research and Innovation Committee.
- (d) Unless satisfactory reasons are given to the Research and Innovation Committee, expenditure already incurred by an applicant on a research project before his/her application is approved shall not be reimbursed. Further, projects expenditure must be restricted to the approved budget.

## 14.4 Publication and dissemination of research results

- (a) All research grant recipients are required to publish and disseminate research results through the media including scholarly articles, popular publications, and public media and policy briefs.

Researchers are therefore required;

- (i) To provide the Research and Innovation Committee with two copies of off-prints of journal articles and conference proceedings, where the results of such research have been published or at least one copy in the case of other published work, such as books.
  - (ii) To ensure that acknowledgments of financial assistance from the University or other sources are included in an appropriate position in all published works.
  - (iii) To deposit all such publications with the NM-AIST library.
- (b) All innovations and patents must report to the Technology Transfer Office under DVC-ARI who will advise and co-ordinate all interactions with business and industry.
- (c) To ensure integrity in research and publications, the institution will formulate guidelines to:
  - (i) Foster responsible attitude and conduct in authorship, review and publication of scientific articles.
  - (ii) Check and control fraud in science and other disciplines

- (d) To ensure the sustainability of scientific journals hosted by professional associations affiliated to NM-AIST, the institution, through the Research and Innovation Committee, shall allocate from its budget funds to partially support the production of such journals.
- (e) To ensure sustained circulation of such journals, the Research and Innovation Committee, shall encourage respective professional associations to incorporate within their membership fees a token sum for supporting the subscription to journals.

#### **14.5 Equipment purchased from research funds**

- (a) Purchase of equipment will be at actual cost of invoice and when purchased overseas, the exchange rate at the date of payment will apply.
- (b) All equipment bought out of research grant (vehicles, equipment and any supplies) are the property of the institution and shall therefore be entered in ledger books or lodged with the appropriate Institution authorities (i.e. Heads of Schools, Departments and Central Administration as the case may be) at the completion of the project for which they were bought. All research assets shall be under the jurisdiction of the Institution and the Vice Chancellor shall be the final authority on behalf of institution Council.
- (c) All collaborative and externally funded research projects operating at NM-AIST shall have an NM-AIST academic member of staff as its leader. Such a leader shall be appointed by consensus among the collaborators or by the institution upon recommendations of the Research and Innovation Committee if the situation may so require.
- (d) All equipment including vehicles shall be utilized and administered according to general institution regulations and guidelines for purposes of ensuring equitable access to the facilities by all researchers.
- (e) Project vehicles shall be used solely for research or other official duties and should be parked in areas approved by the Institution.
- (f) If and where necessary, permission to drive project vehicles by researchers should be sought and granted by institution Authority.

## **14.6 Administrative Costs for Research Grants**

### **14.6.1 Rate and distribution**

For grants solicited by individuals, departments or Schools, NM-AIST will charge a mandatory flat rate of 15% of the total grants to meet overhead costs of administering grants and contribute to infrastructural and capacity building at NM-AIST. It shall be the responsibility of the prospective grantees to ensure that 15% grants administration fee is included in each grant disbursement. The Head of finance department/Senior Accountant shall be required to treat each disbursement as already including the grant administration fee. The fund will be monitored, administered and apportioned by the DVC-ARI following guidelines approved by the institution from time to time. The 15% administrative fee will be apportioned as follows; 7% central administration, 2% School, 2% Department, 2% fund to facilitate institutional grant writing and 2% given directly to the Research Group (PI and CO-PI's) as incentive.

The 7% allocated to central administration will be used to cover costs such as utilities and also to contribute towards the formation of Seed Grant for Junior Researchers.

### **14.6.2 Apportionment of the 2% Research Incentive portion**

- (a) The proportion of the research incentive portion due to each member of the research team on each funded research project will reflect the level of involvement, engagement and responsibility.
- (b) Project team members can submit to DVC-ARI's Office an agreed apportionment formula. Such an agreement must be signed by all project members.

- (c) However, in cases where the research team did not submit an apportionment formula, the following guidelines shall apply;
- (i) Where there is only one faculty member eligible to benefit from a set aside research incentive portion, the entire portion will go to this single faculty member.
  - (ii) However, in cases where more than one faculty member is eligible, the following conditions shall apply;
    - ❖ Where there are two Co-principal Investigators (Co-PIs) that have been designated as such in the proposal submitted to the funding entity, then the two Co-PIs shall share the research incentive portion in equal amounts or based on apportionment agreement entered into by the two Co-PIs a priori.
    - ❖ Where there are two or more faculty members involved in a funded research project and only one faculty member is a PI, then the PI will receive 60% of the research allowance and the remaining 40% is apportioned equally among the remaining faculty members.
    - ❖ Where there are two or more faculty members involved in a funded research project, and one faculty member is a PI and another is a Co-PI, then the PI will receive 45% of the research incentive portion, the Co-PI will receive 25% and the remaining 30% is apportioned equally among the remaining faculty members.

- ❖ Where there are three or more faculty members involved in an externally funded research project and two faculty members are listed as Co-PIs, then the Co-PIs will receive an equal share of 70% of the research incentive portion and the remaining 30% is apportioned equally among the remaining faculty members.

#### **14.7 Subsistence, Per-diems, other allowances and reimbursements**

- (a) Payment of subsistence/per diem and other allowances to researchers shall be paid according to Government circulars/guidelines or according to the budgetary specifications of the respective grant as agreed upon by the funding agency.
- (b) Relevant Institution regulations on employment of researchers, research assistants, Post-docs, academic and administrative staff members shall apply.

#### **14.8 Remuneration and Allowances**

- (a) Allowances for research activities will be paid to researchers as follows:
  - (i) Overnight/Per diem allowance for each night/day away from the duty station will be paid according to Government or donor approved rates/terms.
  - (ii) Researchers employed by the project (Post-docs, Research assistants, Technicians and others) shall be paid according to NM-AIST financial regulations or donor approved rates.



- (b) Payments including wages for occasional workers and casual labourers shall be paid according to Government circulars in force. A field allowance will be paid at half per diem if the absence from the campus is more than six hours per day. Absence exceeding 12 hours shall be deemed to be an overnight stay out of duty station.
- (c) Incidental expenses to cover telephones, taxi, airport charges and others will be reimbursed upon submission of receipts.
- (d) The cost of air travel within Tanzania and overseas will be paid at full fare economy rates payable directly to the airline or ticketing agencies against a pro-forma invoice or as re-imburement to the researcher upon presentation of airline boarding passes.
- (e) Surface and marine transport fares will be paid at actual cost for each journey for the researchers, technicians and other assistants.
- (f) Travel by vehicle will be reimbursed in the following way:
  - (i) Taxi fares at actual cost where no other form of transport is available.
  - (ii) Where the vehicle is provided by an individual on a private basis, a mileage allowance of US\$ 1.0 per kilometre travelled shall be paid.
  - (iii) Where NM-AIST or a government department provides the vehicle for research activities, the researcher shall pay a mileage charge of US\$ 0.75 per kilometre.
  - (iv) Further, the user shall be responsible for fuel costs and subsistence allowance for the driver.

## **14.9 Research Chairs**

Recognizing the need for NM-AIST to produce quality and relevant applied research results, the institution encourages the establishment of Research Chairs within Schools/Departments outside the normal establishments. The purpose is to implement activities of specifically funded research for a specified duration and terms of contract. Renowned scholars and scientists will be encouraged to develop projects, source funds from various funding agencies, foundations and industries to acquire Research Chairs at NM-AIST.

## **14.10 Research Associateship Scheme**

The NM-AIST encourages and allows Research Associates external to the Institution and foreign scholars wishing to conduct research in Tanzania and at NM-AIST. In order to obtain such Associateship, researchers should apply to the DVC-ARI on prescribed forms indicated in Appendix 5. The details and current fees for such Associateship are as in the guidelines to research Associateship.

## **14.11 Research and Innovation Committee**

This is an Institute-wide committee mandated to coordinate and guide the operations of research activities at the institution and periodically give applicable recommendation to the SENATE on matters related to research and innovation through the DVC-ARI office. For the purpose of ethics in research, this committee has a responsibility of monitoring and evaluating compliance to ethical conduct of researchers undertaking research. Consequently, the committee has also the responsibility of making recommendations to the SENATE for action to be taken upon any breach of research ethics. More information on the Research and Innovation Committee are found in section 2.4.

## **14.12 Revenues from research projects and activities**

Revenues generated from research activities such as sales of research produce and publications shall be administered as follows:

- (a) For long-term projects, the existing internal income generation policy which guides the apportionment and administration of the generated revenue shall apply.
- (b) For short-term projects (not exceeding one year), based on small grants, the income generated and assets acquired shall remain in the host Schools/Department.

#### **4.13 Guidelines to Research Associateship**

- (a) **OBJECTIVE:** To enhance collaboration with researchers/students from a reputable institution in Tanzania or abroad, who wish to undertake research in Tanzania with NM-AIST being contact institution during the course of the research.
- (b) **QUALIFICATIONS:** An applicant for registration as a Research Associate shall be a holder of registered for a Master's or PhD degree, or an equivalent qualification in a recognized institution of higher learning.
- (c) **APPLICATION:** Requirements for a complete application are as follows:-
  - (i) An application must be submitted to reach NM-AIST at least 2 months prior to the date the applicant intends to commence the research work.
  - (ii) A concise statement of the proposed project, including: objective, description of problem area, methodology, expected out-put, the period of research and places in Tanzania where the work will be carried out.
  - (iii) Confirmation of availability of financial support to cover travel, fees, research funds and up-keep allowances, and/or any other material support to the intended research.
  - (iv) The applicant's full curriculum vitae.

(v) Names of two referees who are qualified in the field of research in which the applicant wishes to undertake.

(vi) Name of contact person(s) in the Department of intended study.

- (d) **REGISTRATION:** If the applicant meets the minimum requirements, Research Associateship will be awarded for a period ranging from a minimum of one month, depending on the applicant's request. Depending on the type of intended research work, the registration may be single or of multiple periods.

Applications for renewal should be submitted to the NM-AIST at least two months before the expiry of foregoing registration. For renewal, the following will be required: Application forms fully completed; Confirmation of availability of funds to cover all related costs; and Justification for continuation of the project.

- (e) **FEES:** There will be fees payable upon arrival at the NM-AIST as follows: Registration fee (one time): US\$ 100; Administration fee (one time): (US\$200); Bench fee: US\$ 80 per month. The bench fee is designed to cover the services to be offered by the host department e.g. laboratory facilities (40%), contact persons fee (40%) and library services (20%). The other Research Associateship fees will be administered as will be approved by the University from time to time.

- (f) **RESEARCH BUDGET:** This will be determined by the sponsor and/or the researcher. The University will have no obligation on the administration of such funds unless requested to do so.
- (g) **OBLIGATIONS;**
- (i) To report to the Office of Research upon arrival for registration and before departure, without fail.
  - (ii) To be responsible to the Dean/Head of autonomous Department in which he/she is based for daily administrative matters
  - (iii) To ensure having proper Immigration documents including a Residence Permit before embarking on research activities.
  - (iv) To obtain an introductory letter from the Vice Chancellor for intended field work outside NM-AIST.
  - (v) To participate in scholarly activities at NM-AIST.
  - (vi) To give a seminar at the end of the research period.
  - (vii) To submit a report plus any publications at the end of the research period.

#### **14.14 Formation and composition of the human ethics review Committee**

- (a) The Vice Chancellor will be responsible for appointing members to the human ethics review committee. The DVC-ARI and the Research and Innovation Committee will recommend the names.
- (b) The Human ethics review committee will comprise between 5-10 members who collectively have the experience to review and evaluate the science, medical aspects and ethics of the research proposal.
- (c) At least one member of the committee will be a health scientist, one non health scientist (lawyer/social scientist) and one a community representative and assurance of gender equity.
- (d) Terms of reference for the Human Ethics Review Committee will be according to the human ethics review guidelines.

#### **14.15 Formation and composition of the animal ethics review Committee**

- (a) The Vice Chancellor will be responsible for appointing members to the animal ethics review committee. The DVC-ARI and the Research and Innovation Committee will recommend the names.
- (b) The Animal Ethics Review Committee will comprise of 5 members including a Chairperson, a Veterinarian, a named animal care and welfare officer and a layperson.
- (c) The Chairperson will be an NM-AIST senior staff member not normally involved in animal experimentation, and the Layperson will not be an NM-AIST staff member nor involved with in anyway with NM-AIST research programs.
  - (i) Terms of reference for the animal ethics review committee will be according to the animal ethics review guidelines.

# CHAPTER FIFTEEN

## APPENDICES

### Appendix 1: Format for research project registration

1. Title of the project		
2. Name of the project leader		
3. Collaborating Researchers and departments of affiliation	1. NM-AIST researchers 2. 2. Others:	
4. Starting Date		
5. Duration		
6. Expected date of completion		
7. Project main objective		
8. Research target sites		
9. Sponsor/Funding agency		
10. Total Budget		
11. Annual disbursement		
12. Signature of project leader		
Date		
	Remarks	Signature
13. Head of Department		
Date		
14. Dean/Director		
Date		
15. DVC-ARI		
Date		
Registration number (to be issued by DVC-ARI):		

## Appendix 2: Form for application of internal research grant

1. Name(s) of researchers (s)
2. Nationality
3. Academic qualifications
4. Department/Faculty/Institute
5. Research Theme
6. Title of the research project
7. What has already been done; background
8. What remains to be done; definition of problem
9. Objectives of the proposed research project
10. Methodology and nature of the work
11. Expected results and importance
12. Probable duration of the project
13. Detailed budget and the amount requested from the Research and Innovation Committee.
  - a) Equipment and other materials
  - b) Travel (mileage based on approved rates).
  - c) Subsistence (use current rates)
  - d) Others (specify the items and their costs)
14. Are you in receipt of a research grant from the Research and Publications Committee or from any other sources?
15. Names and addresses of two referees
16. Declaration of the application:

I/We the undersigned have read and understood the Rules and Regulations governing the granting of research funds by the University and undertake to abide by them if my/our application is successful.

Remarks by Project Leader:	
Date	Signature
Remarks by Head of Department:	
Date	Signature
Remarks by the Dean of School:	
Date	Signature
Remarks by DVC-ARI/The Research and Innovation Committee	
Date	Signature



### **Appendix 3: Procedure for approval of externally funded grant**

1. Submission of the proposal to the Director responsible for research and publications should be done at least 5 working days before the deadlines.
2. Approved proposals will be issued with letter of support or grant agreement will be signed by the Vice Chancellor.
3. Research proposals to be approved should conform to NM-AIST research focus areas and guidelines.

## Appendix 4: Format for Research Progress Report

### A: Internally funded Projects

1. Period being covered
2. Project title
3. Researcher(s)
4. Department/Faculty /Institution/Centre(s)
5. Project objectives
6. Original hypothesis or problem defined
7. Project implementation during the stated period

Planned target	Status of implementation	Problems encountered	Corrective measures

8. Publication(s) to date (indicate title and media)
9. Project work plan and budget for the next period
10. Financial statement certified by SUA Bursar (To be attached)

Name of project leader:	
Date	Signature
Remarks by Head of Department	
Date	Signature
Remarks by Dean of School	
Date	Signature
Remarks by DVC-ARI/Research and Innovation Committee	
Date	Signature

**B: Externally funded projects**

Project title	
Project leader	
Collaborating researchers	
Duration	
Overall objective	
Specific objectives:	
Sponsor	
Total budget	
Project output todate:	
(i) Publications in journals	
(ii) Workshops/Conferences	
(iii) Submitted papers	
(iv) Dissertations and theses	

## Appendix 5: Application for Research Associateship Form

1. Identity:		
Surname	Other names	
Nationality	Passport number	Expiry date
Qualifications		
2. Institution of Affiliation (Attach a letter of recommendation from Head of Institution)		
3. Source of Funds (Attach certification of availability of funds)		
4. Estimated period of research		
• Date of commencement		
• Date of completion		
5. Field and topic of research		
6. Main research objective		
7. Location of research area (Region, district etc.)		

8. Access Sought: (Circle the relevant)

(a) Laboratory at NM-AIST: Yes/No;      (b) Interview - Government officials: Yes/No.

(b) Public records: Yes/No.;      (c) Interview -members of the public: Yes/ No.

9. Attachments:

(a) One page description of your research proposal; (b) Curriculum vitae

(c) Names and addresses of two referees; (d) Name and address of contact person or next of kin in case of emergency.

10. Declaration by Applicant:

I have read and agree to abide by the Regulations and Guidelines for Research Associateships at the Nelson Mandela African Institution of Science and Technology. I will also conduct myself with discretion while in Tanzania.

Signature: ..... Date.....

11. Contact Person at NM-AIST: Name:.....

School/Dept: ..... Signature: ..... Date: .....

12. Obligations of the Contact Person

- a) The contact person shall be appointed by the Head of Department and endorsed by the NM-AIST Committee responsible for Research. This activity should be completed during the two months period prior to the date the Research Associate intends to commence the research work.
- b) Receive the Research Associate and offer support and guidance during the entire period of the associateship.
- c) Ensure that the Research Associate prepares and deliver at least one seminar on the respective subject of research before his/her departure.
- d) Submit to the Office of Research, through the respective channels, progress and final reports.

13. Accommodation

The researcher may be accommodated at a modest rate of USD 15 per day and may, if available, get an office space. The accommodation shall be coordinated by the host Dean of School/Head of Autonomous Department.