RESEARCH AND INNOVATION POLICY, AND
OPERATIONAL GUIDELINES

Second Edition

Approved by the University Council on 26th June, 2020
FOREWORD

Mzumbe University has to address socio-economic problems facing the country and find solutions based on evidence generated from research. Research is a key for academic institutions in performing their core functions: teaching, research and publications and community outreach activities. Performance of these activities, however, is being modified, and in a way improved through technological advancement. Hence, to be able to meet its objectives as well as its customers’ satisfaction, innovation has to cut across the core functions mentioned above. It is against this backdrop that this Policy is introduced. Mzumbe University is recognized as one of the Universities in Tanzania for its contribution in generating knowledge through research. This is important particularly on the understanding that the evidence-based approach is pivotal in informing government policies and decisions. This edition has put more emphasis on innovation along with research. This approach is intended to elevate the Mzumbe University performance and therefore enhance its contribution to the national socio-economic development.

The main objective of this edition is to enable the University to continue performing its key function within the context of national development priorities, policies and with due regard to technological advancement and innovation and in collaboration with other institutions, both national and international.

Effective contribution in the national development initiatives calls for an increased internal efficiency in research management. This requires clear guidance for performing research as well as transparent internal research administration processes. This Policy aims at guiding MU researchers in knowledge generation and innovation.

The policy has drawn lessons from the previous editions, state policies as well as best practices from other institutions. It is hoped that the Policy will enhance research and innovation at Mzumbe University and collaboration with other institutions with the ultimate goal of improving the wellbeing of the people of the United Republic of Tanzania.

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Vice Chancellor
MZUMBE UNIVERSITY
**ACRONYMS AND ABBREVIATIONS**

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
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<tbody>
<tr>
<td>HoD</td>
<td>Head of the Department</td>
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<tr>
<td>CEI</td>
<td>Centre for Entrepreneurship and Innovations.</td>
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<td>COSTECH</td>
<td>Commission for Science and Technology.</td>
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<td>CSP</td>
<td>Corporate Strategic Plan.</td>
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<td>DRPS</td>
<td>Directorate of Research, Publications and Postgraduate Studies.</td>
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<td>FRPC</td>
<td>Faculty Research and Publication Committee.</td>
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<tr>
<td>HIV/AIDS</td>
<td>Human Immunodeficiency Virus/Acquired Immunodeficiency Syndrome.</td>
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<td>INC</td>
<td>Innovation Committee.</td>
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<td>IPR</td>
<td>Intellectual Property Rights.</td>
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<td>MU</td>
<td>Mzumbe University.</td>
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<tr>
<td>NGOs</td>
<td>None Governmental Organizations.</td>
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<td>SDGs</td>
<td>Sustainable Development Goals.</td>
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<tr>
<td>POLICOFA</td>
<td>Potentials and Limitations of Contract Farming.</td>
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<tr>
<td>CYTET</td>
<td>Cloud Funding for Youth Entrepreneurship in Tanzania.</td>
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<td>DCC</td>
<td>Dar es Salaam Campus College.</td>
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<td>MCC</td>
<td>Mbeya Campus College.</td>
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<tr>
<td>TESCEA</td>
<td>Transforming Employability for Social change in East Africa.</td>
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<tr>
<td>ACTEA</td>
<td>Applied Curricula in Technology for East Africa.</td>
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<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation.</td>
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<td>R&amp;D</td>
<td>Research and Development.</td>
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<tr>
<td>KRA</td>
<td>Key Result Area.</td>
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<tr>
<td>ICT</td>
<td>Information Communication Technology.</td>
</tr>
</tbody>
</table>
# TABLE OF CONTENTS

FOREWORD..............................................................................................................ii
ACRONYMS AND ABBREVIATIONS...........................................................................iii
CHAPTER ONE...........................................................................................................1
INTRODUCTION........................................................................................................1
  1.0 Preamble...........................................................................................................1
  1.1 Research, Innovation and National Development..........................................1
  1.3 Research and other core functions of the University.......................................3
  1.4 Mzumbe University Vision and Mission.........................................................4
CHAPTER TWO.........................................................................................................5
POLICY GOAL AND OBJECTIVES ...........................................................................5
  2.0 Introduction ....................................................................................................5
  2.1 Purpose and Rationale for the Research and Innovation Policy.......................5
  2.4 Scope of the Policy..........................................................................................8
CHAPTER THREE.....................................................................................................9
POLICY ISSUES, STATEMENTS AND STRATEGIES ..............................................9
  3.0 Introduction ....................................................................................................9
CHAPTER FOUR.......................................................................................................18
ORGANISATION AND MANAGEMENT OF RESEARCH AND INNOVATION...19
  4.0 Management of Research at University Level ...............................................19
  4.1 Management of Research at Campus College/School/Faculty/Directorate Level ......20
  4.2 Management of Innovation at Centre for Entrepreneurship and Innovation........20
  4.4 Sustainability of Research and Innovation Capacity.......................................23
  4.5 Research Ethics and Ethical Clearance Procedures.........................................24
  4.6 Externally Funded Research Projects.............................................................25
CHAPTER FIVE.........................................................................................................26
OPERATIONAL GUIDELINES, PROCEDURES AND INSTRUMENTS.................26
  5.0 Introduction ....................................................................................................26
CHAPTER ONE
INTRODUCTION

1.0 Preamble
The Mzumbe University (MU) charter of 2007 provides the university with a broad mandate to initiate and conduct research for development purposes. Along the same mandate, the mission of the university is to provide opportunities for acquisition, development and dissemination of knowledge and skills through training, research, technological and/or professional services.

Mzumbe University is bequeathed with highly trained human capital in the speciality of public, business and local government administration, as well as economics, accountancy, education, health, as well as information and communication technologies and the administration of justice. It also enjoys the privilege of having three campuses geographically well located that is Mzumbe University- Dar es Salaam Campus College (DCC), Mzumbe University - Mbeya Campus College (DCC) and the main campus in Morogoro which enable to smoothly conduct and manage research activities.

1.1 Research, Innovation and National Development

1.1.1 Research and National Development
The policy recognizes research as an important tool in advancing and refining knowledge and skills in providing solutions to socio-economic problems facing the society in Tanzania and beyond.

In recognition of various national development strategies, the Mzumbe University as one of the public institutions is obliged to address socio-economic problems facing the country and find solutions based on evidence generated from research.

In its widest sense research is the basis for socio-economic development of any society. If society lacks the capacity for research or the capacity to manage technological change, it may become dependent on the outside world for its development. Experience shows that no country has attained any meaningful breakthrough in socio-economic development without developing a capacity for research. Also, experience shows that knowledge
developed in a local context is more relevant for policy making than that developed elsewhere.

The National Research and Development Policy 2010 recognizes the strategic importance of research for national socioeconomic development. It strategically emphasizes that research agenda of various institutions should be consistent with the national research priorities. In light of the above, MU research and innovation policy is developed taking cognizant of various national and international policies and strategies. Nationally, the policy draws insights from Tanzania Development Vision 2025, National Five Year Development Plan (2016/2017 -2020/2021), National Research and Development Policy (2010), and the National Research Priorities (2015 – 2020). Globally, the policy is aligned closely with the Sustainable Development Goals (SDGs) 2030. Various research policies from similar institutions also offered insights into the development the MU research and innovation policy and thus helped positioning the University along the research chains.

1.1.2 Innovation and National Development

Technological innovation is essential for economic growth and enhancement of local, regional and global competitiveness of goods and services. This holds true both country regional and global levels as innovation is the driving force in economic growth in today’s knowledge based, global economy. Innovation is thus the engine in wealth creation, social welfare facilitation and international competitiveness.

Mzumbe University’s research and innovation policy is thus inspired and informed by a number of relevant international, regional and national goals and policies, as well as contemporary development trends which present themselves both as challenges and strengths worth consideration for national social-economic growth. For instance, one of these national trends that has greatly influenced this policy, is Tanzania’s rapid population growth coupled with rapid urbanization and rise in youth unemployment. From an innovation perspective, the rapid population growth serves as a precursor for a country’s development for it allows a greater interaction of persons creating higher possibility for innovation due to the need for improved production of goods and service delivery as well as jobs and wealth creation. In its broad perspective, therefore, the ultimate projection of
research and innovation policy is to make the University significantly contribute to the national economy by fostering innovations that are relevant to the varied socioeconomics needs of Tanzanians.

1.2 Mzumbe University’s Position within the National Innovation System

Innovation is considered successful if it causes a change in the product offered, service, business model or operations which meaningfully improve the life experience of stakeholders. In order to achieve this, a number of actors are involved within a dynamic system of interrelated components or actors. The national system of innovation can be thought of as a set of functioning institutions, organizations and policies, which interact constructively in pursuit of a common set of social and economic goals and objectives. More specifically, the Tanzania National Innovation System is made up of a number of significant actors within the realm of innovation in the country. More specifically, the national innovation systems are found in the following typologies:

- Education and research system (universities, Vocational training institutions, sector-based research centres, national research and education network)
- Business system (from start-up informal businesses to large and multi-national companies)
- Intermediate organizations including the laid down Science and technology infrastructure (financial, information, IPR regime, regulatory, incubation centres, science and technology parks, special economic zones, etc.)
- Any other component of the framework conditions in which the above components interact dynamically and effectively respond to national needs of the stakeholders such as existing government policies, supportive international or/and local NGOs.

1.3 Research and other core functions of the University

Research is concerned with producing new knowledge and critical testing of existing knowledge while teaching is one of the major ways through which research findings are disseminated. Most teaching relates to research that has been carried out in the past and is contained in articles in journals, research reports, textbooks and manuals. When research and teaching take place within the same institution, and to some degree by the same people, there may be more direct and immediate gains to both sides. For mutual support,
therefore, research and teaching should be planned and carried out as integrated elements in a joint institutional strategy.

Research also provides grounds for expertise in consultancy services. Most major consultancies require research-based solutions. Therefore, for efficiency and effectiveness of consultancy services to clients, research is a tool of paramount importance.

1.4 Mzumbe University Vision and Mission

Vision
Mzumbe University aims to be a centre of excellence in training, research, consultancy and outreach services in management and allied sciences for socio-economic development of the people by 2025.

Mission
The mission of the University is to provide opportunities for acquisition, development, preservation and dissemination of knowledge and skills through training, research, technical and professional services.
CHAPTER TWO
POLICY GOAL AND OBJECTIVES

2.0 Introduction
The Mzumbe University research and innovation policy shall be aligned with the University mission and vision, corresponds with goals, objectives and targets of the university strategic plan.

2.1 Purpose and Rationale for the Research and Innovation Policy
Mzumbe University, like other public research institutions in Tanzania, has been using research policy as an instrument for guiding and fostering research activities. The first research policy came into being in 2014 following the approval by the University Council. The policy aimed to guides research in the short, medium and long-term, financed through small and large grants. However, as compared to other core functions, the performance of the University in research has been mixed. Besides, the 2014 policy did not include the component of innovation, which is a crucial part of Research and Development (R&D).

Currently, the University has been able to attract quite few big research projects with significant impacts in socioeconomic development of the country in general and the university itself in particular. For example, according to MU Facts and Figures of 2018-2019 for the past ten years, the average of 9 research projects have been completed annually. However, the salient feature of this research project is most of them are small in terms of budget and duration. The University has been implementing a total of 10 big projects (of 3 years or more) for the past ten years. These include POLICOFA I, POLICOFA II, GREAT (Vliruos), Informal Worker Organization and Protection, TESCEA, ACTEA, 4SITE, Future Rural Africa, C4YET, and SUSTAIN. In this vein, it can be said that on average not more than one big project has been won annually for the past ten years during which the 3rd CSP and MU Research Policy of 2014 were implemented.

Low performance in research is attributable to some factors including:
a) Inadequate funding for research and training from the University. In the past, MU used to provide research grants on a competitive basis. However, the funding was relatively too meagre to support meaningful and serious research.

b) Inadequate human resource capacity for bidding big research projects.

c) Shortage of qualified staff in some units to put up big research projects.

d) Weak research and publication culture.

The 4th MU CSP aims to increase the number of researches conducted across units and individuals. For example, one of the Key Results Areas (KRA) of the CSP entails enhancing and coordinating research and innovation for socio-economic growth and industrialization, whose one of the targets is to develop and deploy research and innovation policy. Certainly, as a result of the implementation of the 4th MU CSP (2017-2022) research and innovation activities at the university are going to increase. These must be well guided by effective policy and operational procedures.

Tanzania Development Vision 2025 envisions Tanzania as a nation with a strong, diversified, resilient and competitive economy; and the Second National Five Years Development Plan 2016/2017 - 2020/2021 sees industrialization as a key for this economic transformation and human development. Research and innovation are central for the industrialization process as they feed knowledge, skills, creativity and entrepreneurship into the industrial system.

The world is increasingly globalized thanks to the advancement in Information and Communication Technologies, and continuous national socioeconomic reforms to create an enabling environment that facilitates active participation of public and private institutions in the globalized world. For Mzumbe University, globalization is an opportunity to interact with similar organizations of international repute in a matter of collaboration in research and innovation activities. Globalization may also pose challenges in terms of a mismatch between global and national research priorities and inequitable benefits in collaborative research and innovation activities. These issues must be guided by an effective policy to ensure that research and innovation collaborative projects are not only relevant and
responsive to the socio-economic needs of the country but also provide equitable benefits across the partnership.

In light of the above, it is expected that this policy will strengthen research capacity, organization and management, attract research funding, ensure quality and ethical conduct in research and increase dissemination and utilization of research and innovation outputs. Through policy statements and strategies, the policy gives a general framework on what the University intends to achieve and how the policy will help the University achieve its goals and of the nation at large.

2.2 Ultimate Policy Goal
The ultimate research goal is to guide MU researchers in knowledge generation, development and innovation in order to address the current and future socio-economic challenges in Tanzania and beyond.

2.3 Policy objectives
The central objective of this policy is to guide in conducting research that develop knowledge. The main focus of the research and innovation shall be to resolve socio-economic challenges facing the country and beyond.

The policy provides a mechanism of ensuring that the research and innovation programmes address the University Vision, Mission, Objectives and functions articulated in the MU Charter (2007) and other University documents, including any of their revised versions, as well as to address national development objectives and priorities. Towards achieving the goal, the following are the specific objectives:

i. To provide conducive environment for research and innovation,

ii. To enhance university functions of teaching and consultancy.

iii. To enhance University and faculty capacity for planning and undertaking systematic research.

iv. To enhance the University capacity for diffusion of research and innovation outputs

v. To promote identification, nurturing and commercialization of innovations.
2.4 Scope of the Policy

The research and innovation policy is limited to Research and Innovation (patents, copyright, intellectual property and commercialization of intellectual property) for academic, research, support staff as well as students and other individuals who carry out research and innovation or use MU research resources and outputs. Besides, the policy guides partners who fund or are interested in funding research and innovation activities in various ways and forms. The policy provides the principles guiding the management, support and deployment of research to all those involved in research and innovation at Mzumbe University.
CHAPTER THREE
POLICY ISSUES, STATEMENTS AND STRATEGIES

3.0 Introduction
The research and innovation policy seeks to guide research and innovation purposely to increase MU contribution to research and innovation systems. In the light of the vision and mission of the University as presented above, the policy identifies Fifteen (15) areas of focus. For each area, a policy statement is articulated. The policy statements in this document are derived from the objectives identified above, focusing on various research policy areas and institutional structures and are presented around the following strategic components.

3.1 Policy Issue 1: Promotion of Research.
Research and innovation require an enabling environment for growth and sustainability. Improvement of research and innovation environment is imperative for Mzumbe University to realize its vision through research and innovation. Funding is the most critical resource for enhancing research performance hence, it must be sufficiently available to enable conducting meaningful research. In this understanding, therefore, the following policy statement and strategies are advanced:

Policy Statement 1: The University shall ensure that physical and financial resources from various sources to carryout research and innovation activities are sufficiently available.

Strategies
i. Improving physical resources including office space and continuous improvement of faculty offices and ICT facilities.

ii. Raising adequate research funds from various sources including the government, national and international research funding agencies, and the private sector.

iii. Providing general information to the faculty and postgraduate students on possible sources and modes of research funding.

iv. Setting aside at least 3% of internally generated financial resources for research activities
v. Organizing regular research resources mobilization workshops in which new opportunities for research funding shall be presented and discussed;

vi. Facilitate the liaison process with research donors where such donors have been identified through the Directorate;

vii. Establishing liaison relationships with other national stakeholders to form pressure/lobbying groups to contend for an increased share of research funding from government, the private sector and the international donor community;

viii. Working closely with potential researchers in preparing research proposals for submission to potential funding agencies;

ix. Encouraging and supporting collaboration with other research institutions both national and international.

x. Where potential exists for multi-disciplinary research projects, initiate the formation of such teams which once formed, shall be left to operate under the approved modalities of multi-disciplinary research teams

xi. Encouraging university-industry partnership to attract research funds in areas of mutual interest.

xii. Engaging in activities that will build research skills to write and win big research projects.

xiii. Introducing a separate budget line for research funding for all academic units within the University;

3.2 Policy Issue 2: Promotion of Research Collaboration for Capacity Enhancement

In the globalized world, research collaboration, especially with foreign institutions, are critical for both capacity enhancement and visibility through internationalization. Mzumbe University has not been able to attract many collaborative researches. As such, collaborative research must be deliberately promoted. Hence:

Policy Statement 2: The university shall foster research collaborations with stakeholders from within and outside the country.

Strategies
i. Creating Research Bureau for searching, identifying and negotiating with potential research funders or donors.

ii. Identifying and establishing partnerships with research institutions and universities within and outside the country

iii. Creating a favorable and conducive environment for research and core research activities with other universities or institutions.

iv. Promote collaborative research where there are potential benefits to the University

v. Encourage the formation of multidisciplinary research teams/groups coordinated by DRPS

vi. Soliciting funds from the government and other funding agencies within and outside the country.

vii. Providing information on possible sources of research funding sources on a regular basis.

viii. Subscribing to research funding databases and providing information on research funding opportunities on a regular basis.

ix. Collaborating with relevant stakeholders in identify, nurturing, recognizing and protecting intellectual property rights of innovation which is nurtured under Mzumbe University.

3.3 Policy Issue 3: Promotion of Use of Research Outputs and Findings

The ultimate goal of any research endeavour is to produce knowledge which if easily accessed and effectively utilized can change the world by solving socio-economic problems. However, most research outputs are not readily accessed and used by stakeholders for various purposes. It is through this policy that:

**Policy Statement 3: The University shall ensure that research outputs are available for easy access to and use by all stakeholders.**

**Strategies**

i. Ensuring research outputs are disseminated to all stakeholders through appropriate media, policy briefs, written papers, books, workshops, meetings and web publication
ii. Ensuring that all research proposals incorporate a component for the dissemination of research findings activities through at least a local seminar, workshop, conferences, symposium to research findings

iii. Ensuring that the research report shall follow a standard format as indicated in Annex VII

iv. Requiring each Faculty/school/institute conduct at least one research workshop annually which will review research plans, progress, and outputs. Annual research workshops shall also include presentations of academic papers;

v. Encouraging preparation and submission of research abstracts/research reports to potential policymakers/policy briefs for action

vi. Encouraging and supporting the publication of research findings/publications in local media and accessible databases (electronic or otherwise) for wider accessibility

vii. Encouraging the publication of research findings in the local and international media.

viii. Providing adequate support for attending and presenting research results at national and international workshops/conferences.

ix. Requiring all research reports be deposited with the MU library in hard and/or electronic forms for ease of access and use.

3.4 Policy Issue 4: Provision of Adequate Research Support for Staff and Students

MU research activities grow and flourish when there is adequate research support system available both for the staff and students. Research facilities including modern information management system, access to web-based database and opportunities for the dissemination and publishing of research information have been critical constraints at MU. In cognition of this constraint, therefore, the policy envisages that:

**Policy Statement 4: The university shall create a customized and stable research and innovation support system.**

**Strategies**

i. Provide research support services including the provision of reliable modern management information systems
ii. Developing a University Research Webpage page which is updated regularly to provide for wide dissemination of research outputs.

iii. Provide internet and other ICT facilities at every academic/research unit for purposes of knowledge creation and dissemination.

iv. Provide access to the e-resources and other ICT related common services/software for data management and analysis

v. Subjecting all research works to peer discussions and reviews

vi. Protecting all approved research works by copyright regulations.

vii. Disposing of research equipment and materials per the University regulations or, institutional collaboration agreement.

viii. Ensuring continuous research-based capacity building are carried out by the University.

3.5 Policy Issue 5: Promotion of Research Ethics

Research and innovative activities must be conducted with a given ethical framework. Ethics in research must be observed and promoted for the integrity of the profession, university and the country. Ethics also must be observed to maintain intellectual honesty, confidentiality, acceptability of research results, conflict of interest, observation and avoiding offending respondents. Given the foregoing, this policy envisages that;

Policy Statement 5: The University shall continuously ensure that the university, national and international research ethics are adhered to and followed.

Strategies

i. Developing and disseminating ethical research clearance procedures to the University staff and students.

ii. Monitoring and supporting research ethical processes for compliance

iii. Developing and review regularly guidelines for best research practices and ethical conducts

iv. Establishing ethics review committees to oversee ethical conducts of research at campus college, schools, faculties, directorates and institute.
v. Ensuring that all researches at MU are subjected to ethical approval and research clearance by relevant institutions.

3.6 Policy Issue 6: Monitoring Performance of the University in Research and Innovation

The performance of the university in research and innovation needs to be closely monitored so that the right outcomes can be achieved. For monitoring to be effective, a Monitoring and Evaluation (M&E) system must be in place and operational.

**Policy Statement 6:** The university shall ensure that there is effective and efficient research monitoring and evaluation system in place and updated on regular basis based on needs and circumstances.

**Strategies**

i. Develop a Monitoring and Evaluation (M&E) framework for research and innovation.

ii. Benchmarking internal research policy and procedures with other University policies and procedures.

iii. Establishing a framework which guides the preparation and approval of research projects from different fields.

iv. Ensuring that all research projects are monitored and evaluated to ensure that research goals are achieved.

3.7 Policy Issue 7: Prioritizing Research Agenda

Research and Innovative activities at the University must reflect university, country, regional and international priorities. For many years, research activities of faculties and students at Mzumbe University have been done on an ad hoc basis. Consequently, it has been a challenge for the University to determine and document the significant contribution of research in solving socio-economic problems as highlighted in national and international agenda. To this end;

**Policy Statement 7:** The university shall identify and develop research priorities based on national, regional and international development agenda and priorities
Strategies

i. Making university research priorities and the national, regional and international development agenda known to all major organs responsible for socio-economic development research in the country and adopting a proactive stance in all matters of research and development.

ii. Ensuring that Faculties/institutes/schools formulate research priorities that will feed into the university research agenda.

iii. Making sure that the priorities identified reflect national research objectives priorities and relevant international trends.

iv. Ensuring that the review of the research agenda is pegged to the review of the University Strategic Plan.

v. Promoting basic and applied researches to contribute to the generation of new knowledge and technologies to solve real-world problem.

3.8 Policy Issue 8: Addressing Crosscutting Issues in Research and Innovation

The voices of voiceless have rarely been represented in research. In a similar vein, cross-cutting issues such as environment, HIV/AIDS, and ethics are inadequately and ineffectively integrated in research. The policy takes cognizant of the need for research and innovations to be cognizant of gender, equity, environment, and corruption issues etc and be responsive in research and innovation. Thus, policy envisages that gender or other equity matters in conducting, accessing research resources and benefits from research results are fully considered in different stages and levels of research undertaking.

Similarly, ethical matters in research need to be given due weight and seriously be observed by staff and students in the name of integrity of the University and maintaining intellectual honesty and confidence. To this end, it expected that:

Policy Statement 8: The University shall devote adequate resources, in the search for the solutions on cross-cutting issues that include the environment, gender, equity, HIV/AIDS, ethics etc.
**Strategies**

i. Ensuring that research activities conform with relevant national laws, policies and regulations addressing cross-cutting issues

ii. Promoting equity-based and gender-responsive research and innovations

iii. Providing opportunities for staff and students to train in gender-focused research methodology.

iv. Integrating gender and equity issues in research proposal development and implementation.

### 3.9 Policy Issue 9: Research Quality Assurance

Research activities must be conducted in such a way that the output produced to meet the quality requirements in consonance with MU quality management policy and practices. To this end, MU shall:

*Policy Statement 9: Ensure that research outputs satisfy the required quality in line with MU Quality Assurance Policy and mechanisms.*

**Strategies**

i. Develop and disseminate research quality assurance guidelines and indicators.

ii. Ensure that research application and approval are in line with the guidelines.

iii. Monitor the quality and number of publications resulting from research done by staff of various ranks.

iv. Monitor the target group for the dissemination of research results.

v. Conduct surveys to obtain feedback on the quality and value of research results.

### 3.10 Policy Issue 10: Coordination of University Researches

Research activities are carried out through various academic and research units in the University. These have to be managed and coordinated properly for the benefit of the university and the country.
Policy Statement 10: The University shall ensure that management and coordination of research and innovative activities in campus colleges, institutes, schools, faculties and directorates are strengthened and made effective.

Strategies:

i. At each unit, encourage the formation of multidisciplinary research teams/groups

ii. Encourage each unit to conduct regular training workshops/seminars in grant proposal writing, financial management, scholarly writing and dissemination.

iii. Promote a mentoring and apprenticeship culture/approach in research and innovation

iv. Provide tools for internal procedures for approval, control, monitoring and coordination of research and innovations.

3.11 Policy Issue 11: Promotion of Innovation and Protecting IP

The MU research and innovation policy recognizes that research can lead to innovations with higher socioeconomic effect to the lives of people in both urban and rural areas. In light of this, the University must stimulate and exploit innovations to its fullest potentials. However, to fully benefit from innovations it critical that the ownership and rights of the innovations are identified, assigned and protected through effective and efficient intellectual property rights systems. Given this, the following statement is advanced:

Policy statement 11: The Mzumbe University research and innovation activities shall be guided by the intellectual property policy and guidelines in line with national and international laws.

Strategies

i. Ensuring that the MU intellectual property (IP) policy is in place, providing detailed guidance on patents emanating from research and innovations conducted by staff and students at MU.

ii. Encouraging staff and students in developing research projects that promote innovations.
iii. Ensuring all the innovation and research works conducted by the University staff and students comply with the University, national and international IP laws and regulations

iv. Promoting the utilization of Intellectual Property information in research and innovation at the University.
CHAPTER FOUR
ORGANISATION AND MANAGEMENT OF RESEARCH AND INNOVATION

4.0 Management of Research at University Level

The University shall continuously strengthen the capacity of the Directorate of Research, Publications and Postgraduate Studies (DRPS) and the Entrepreneurship Centre to coordinate, administer and oversee all research and innovation activities at the University. Whereas research/innovation ideas and projects shall be initiated and nurtured in the faculties and institutes, the coordination and funding shall be administered by the DRPS. The Directorate shall promote and coordinate solicitation of research funds from development partners and funding agencies.

The Directorate shall further work closely with other relevant university authorities to achieve professionalism in research and innovation in the university and define and reward excellence in research activities. DRPS shall ensure the smooth operation of research and innovation through its Directorate Research and Publication Committee (DRPC). The DRPC shall constitute the following members:

i. DRPS Director who shall be the chairperson
ii. HOD – Research and Publication who shall be the secretary
iii. Coordinators of Campus colleges/School/Institute/Faculty/Directorate Research and Publication Committees (FRPC).

The DRPS shall coordinate through DRPC the following activities:

i. Standardization of the research process to ensure that research stakeholders receive equal treatment.

ii. Ensure participation of the MU researchers in generating relevant research agenda.

iii. Identify research knowledge gap in the faculty/school/institute and suggest ways to address it.

iv. Facilitate securing of research funds from public, private and external sources.

v. Facilitate dialogue between researchers and research output user.

vi. Deposition of research output in major outlets for public use.

vii. Facilitate issuing of research permits to national and international researchers.
viii. Publish a regular Research Bulletin indicating the status of research activity in the University.
ix. Monitor research activities to ensure quality and ethical conducts at the University

4.1 Management of Research at Campus College/School/Faculty/Directorate Level
Each campus college, institute, school, faculty and directorate shall establish a Faculty/Institute/Directorate/School Research and Publications Committee (FRPC) to coordinate operational research activities at faculty/institute/school level. The FRPC shall constitute senior faculty members from each department where necessary, junior members with research experience may become members.

The composition of FRPC shall include the following:

i. Research Coordinator – who will be the Chairperson.
ii. Secretary who will be elected among the members
iii. Three faculty members with proportional representation from the academic department. Gender and equity issues shall be observed in selecting FRPC members.

The members of FRPC shall be appointed by the dean/director of faculty/institute/school.

The functions of FRPC shall include the following:

i. Coordinate research activities at faculty/institute/school level
ii. Scrutinize research process at faculty/institute/school level.
iii. Ensure the participation of the faculty members in research activities.
iv. Facilitate research proposals at the faculty/institute/school level for onward transmission.
v. Identify the source of research funds/grants
vi. Monitor research activities to ensure quality and ethical conducts in their respective units.

4.2 Management of Innovation at Centre for Entrepreneurship and Innovation
To operationalize innovation activities the Centre for Entrepreneurship and Innovation (CEI) shall coordinate through the following activities:

i. Standardization of innovation process.
ii. Ensure participation of the MU innovators in generating new solutions for university and society

iii. Identify potential areas for innovations in the faculty/school/institute and suggest ways to address it.

iv. Facilitate securing of innovation funds from public, private and external sources.

v. Facilitate partnerships with the private sector, government and other stakeholders in addressing innovation-related aspects.

vi. Facilitate the compliance concerning patents and copyrights for the innovation works emerging from Mzumbe or in partnership with other external parties.

vii. Facilitate the identification and naturing of the innovation works from Mzumbe. Facilitate the development and commercialization of innovation works.

Each Faculty, Institute, Directorate and School shall establish a Campus College/School/Faculty/Institute/Directorate Innovation Committee (INC) to coordinate innovation activities at faculty/institute/school level. The INC shall be constituted by senior faculty members from each faculty/institute department where necessary, junior members with research experience may become members.

The composition of INC shall include the following:

i. Coordinator – who will be the Chairperson.

ii. Secretary

iii. Three faculty members

The members of INC shall be appointed by the dean/director of faculty/institute/school.

The functions of INC shall include the following:

i. Coordinate innovation activities at faculty/institute/school level

ii. Scrutinize innovation process at faculty/institute/school level.

iii. Ensure the participation of the faculty members in innovation activities.

iv. Facilitate innovation proposals at faculty/institute/school level for onward transmission.

v. Identify source of innovation funds/grants.
4.3 Research and Innovation Principles

As a University, Mzumbe concentrates on basic and applied research within the fields of her competence which are the speciality of public, business and local government administration, as well as economics, accountancy, information technology and the administration of justice. The focus shall be the Tanzanian socio-economic problems and development aspirations. The following principles underlie Mzumbe University research endeavours:

i. Undertaking both disciplinary and interdisciplinary research programmes focusing on socio-economic problems relevant to the Tanzanian economy and that of the world.

ii. Research incentives and rewards system based on the university mission and vision. The staff appraisal system should reward publishing and other dissemination of research to peers and society as a whole.

iii. Uphold the systematic scientific approach to research and subject research output to peer review before publication.

iv. Appropriate recognition of all research endeavours through academic awards and career advancement.

v. Continuous research training for faculty members through workshops, seminars and short courses.

vi. Promotion of inter-institutional collaboration in research both within and outside Tanzania.

vii. Promotion of commissioned research from other organizations.

viii. Research quality control and assurance through national and international benchmarking and peer reviews.

ix. To foster a well-coordinated innovation culture among the students, staff and other persons outside Mzumbe University;

x. Contribute towards raising the commercialization rate of innovations in Tanzania;
To ensure dynamic interaction among all players in the national innovation system;

i. To foster strong links between the government, industry, researchers and innovators;

ii. To guide sustainable financing mechanism for Mzumbe University mentored innovations;

iii. To offer guidance on mentoring of innovations at Mzumbe University and in benchmarking with internationally renowned best practices;

iv. To guide on the scouting of innovative ideas from individuals, institutions and the private sector;

v. To guide on the establishment and regular updating of the database on Mzumbe University incubated innovations;

vi. Run a university innovation promotion awards for novel innovations to share and drive innovation;

vii. Promote the formation of new technology-based firms through the innovation and incubation centre at Mzumbe University;

viii. Promote identification, nurturing and commercialization of innovations. Innovation is considered successful if it causes a change in the product offered, service, business model or operations which meaningfully improve the life experiences of the stakeholders.

4.4 Sustainability of Research and Innovation Capacity

i. Each externally funded research project shall contribute to the University an institutional overhead charge of 15% of the total cost of the project. The University shall review this rate from time to time based on the needs and circumstances. In case the funding agencies provide specific requirements on the rate, the University shall be flexible and consider a reasonable overhead cost below 15%. Where a general overhead charge is unacceptable to the funding agency, then the actual absolute overhead charges shall be indicated. The 15% shall be shared among research administrative units as follows:

a. 5% shall be contributed to the general University administration.
b. 5% shall be contributed to the Campus college/Institute/School/Faculty where the research/innovation originates. The respective unit may further divide the 5% up and share with the department where the PI originates.

c. 5% shall be contributed to DRPS for research coordination and promotion.

ii. The overhead charge shall be used to strengthen and maintain the University research capacity including the library-based research information database. Furthermore, the overhead charge shall be used to cover indirect costs which are not reflected in the project under discussion.

iii. Continuous faculty training and refresher programmes shall be effected through research seminars, workshops and short courses.

4.5 Research Ethics and Ethical Clearance Procedures

Researchers shall observe the following research ethics

i. Ensure originality and objectivity of conducting research.

ii. Seek all relevant permits to conduct the intended research.

iii. Observe and respect human and moral values.

iv. Treat information obtained from respondents with confidentiality unless there is permission not to do so.

v. Other ethics in research will be handled by the research and publication committees as needs arise.

It is the responsibility of the researcher to obtain research ethical clearance from relevant national or international research clearance authorities. At the national level, COSTECH provide guidelines for research registration and clearance procedures. Researchers are referred to the national research registration and clearance guidelines of 2018 found on COSTECH website for more information. For researches requiring the approval by COSTECH, Mzumbe University will facilitate the process by providing the recommendation to COSTECH.
At Mzumbe University all researchers will be required to duly complete research ethical clearance forms before the commencement of research activity. The form appears as annexe IX in this document.

4.6 Externally Funded Research Projects

Mzumbe University encourages academic staff to, among other core functions, engage themselves in research projects which are either funded internally (using the University funds) or externally (using research grants issued by the research funding organizations or institutions on a competitive basis or through commissioning based on one's experience and expertise required by the commissioning organizations or institutions). For research projects that are externally funded, the role of Mzumbe University is to grant permission in writing, through the Directorate of Research, Publications and Postgraduate Studies (DRPS) to staff participating in the project and at the same time responsible authority in the faculty/institute/directorate/school where the staff member comes from shall ensure that arrangements are in place to take care of academic activities or duties that were assigned to the concerned member of academic staff.

Responsibilities of the concerned member of the academic staff shall be:

i. Communicating with respective campus college/school/institute/faculty/directorate authority regarding research grant won.

ii. Informing the DRPS about the research grant won for recording purposes.

iii. Following all formal set procedures for securing permission to engage in the research project.

iv. Regularly informing respective faculty/institute/directorate/school authority and the DRPS regarding progress of the project.

v. Adhering to all guidelines and regulations as set by the project funding organization

vi. Submitting final report to the project funding organization and university authority through the office of the DRPS.
CHAPTER FIVE
OPERATIONAL GUIDELINES, PROCEDURES AND INSTRUMENTS

5.0 Introduction
To standardize and harmonize research process within the University, research guidelines and operational procedures given in the following annexes shall be followed: Annex I: Guidelines for Approval of Research Proposals and Reports
Annex II: Format for Research Proposals
Annex III: Format for Evaluation of Research Proposals
Annex IV: Standard Research Budget Format
Annex V: Sample Research Contract Format for Researchers
Annex VI: Research Progress Report Format
Annex VII: Final Research Report Format
Annex VIII: Guidelines for Research Report Peer Review
Annex IX: Guidelines for research equipment procurement management and transfer
Annex X: Guidelines for copyright materials
Annex XI: Application for Research ethical clearance at Mzumbe University

These guidelines and instruments shall be reviewed regularly to accommodate changes in the task environment. The Directorate responsible for research shall coordinate the implementation of this research policy.
ANNEX I: GUIDELINES FOR APPROVAL OF RESEARCH PROPOSALS AND REPORT

1. Initiation of a Research Project
Interested researchers shall prepare research proposals in accordance with the format presented in Annex II. The proposals shall be submitted to the relevant Faculty (or Campus College, Institute, and Directorate) Research and Publication Committee (FRPC). Members of the FRPC should be drawn from among the senior staff of each department. Research proposals may be submitted at any time, but the deadlines for submission of proposals to FRPCs are December 31 and June 30 of each year. It is recommended that each researcher should submit only one proposal in the six-month period, but the number of research projects undertaken at any one time will depend on the FRPC’s assessment of the individual researcher’s ability to handle several research projects at a time. For interdisciplinary research, a proposal shall be discussed by a special committee constituted by the relevant faculties or institutes. In general, group research work will be given preference over individual ones. The University shall encourage inter-institutional collaborative research and where funding is available, these should be given special preference.

2. Action by the FRPC
The proposal shall be discussed by the FRPC. Once the FRPC is satisfied with the relevance, the need, soundness and the financial estimates of the submitted research proposal, it will be forwarded to the Directorate of Research, Publication and Postgraduate Studies (DRPS) with appropriate recommendations. The possible courses of action that the FRPC can take are:
   i. Accept the proposal and recommend its funding to the DRPS Board.
   ii. Return the proposal to the researcher(s) for review and subsequent re-submission
   iii. Accept the proposal subject to revisions.
   iv. Reject the proposal if it is sub-standard in both the content and presentation.
3. Action by the DRPS Board

The DRPS Board shall receive and consider proposals for funding after being satisfied with the relevance, need, soundness, and financial estimates. The DRPS Board shall have the following alternative courses of action:

i. Accept the proposal for funding if satisfied with FRPC recommendations in terms of content and format.

ii. Approve it subject to minor revisions to be made by the applicant(s) through the FRPC.

iii. Return the proposal to the FRPC for review and subsequent re-submission if the guidelines were not followed or if the procedures have not been adhered to.

iv. Outright rejection if the Board is sufficiently convinced by the FRPC recommendation that the proposal is substandard in both the content and form of presentation.

4. Approval and Registration

All University research projects shall be registered by the Directorate responsible for research. There shall be a proper coding and record keeping system for the purpose of ensuring that there is enough, proper and up-to-date information on research activities in the University.

5. Research Contract and Funding

An approved research proposal shall only be funded once the researcher(s) has/have signed a contract with appropriate offices (Directorate, Centre or Institute) depending on the source of funding. In any case, the contracts signed at DRPS level shall be deemed to be contracts with the University. Format for research contracts is in Annex V. Originals of research contracts shall be signed by the Director of Research irrespective of the source and level of funding.

Research funds shall be disbursed in phases depending on the nature of the project. The initial phase shall cover the period after the proposal has been approved by the DRPS to cover costs of data collection. The final installment shall be disbursed after data collection and presentation of a preliminary progress report on data collection.
Disbursement and accounting for research funds will follow the University financial regulations. The final accounting exhibit, however, will be presentation of an approved final research report.

6. Interim Progress Reports
At the end of each phase, researchers are required to produce interim progress reports through the format given in Annex VI. If as a result of the progress report there is a need to modify the contract (or schedule of payments), a request should be formally made through the FRPC to the DRPS.

In some cases, the DRPS might wish to send the interim report(s) to an independent reviewer before approving the next phase. Such cases will involve research projects handling massive data that is not easy to interpret or research projects involved in very recent technological developments not well established in the department concerned.

Researchers will be encouraged to give seminars of their progress in various fora within and outside the university. However, in any case, the funds for the next phase can only be released after the approval of the progress report by the DRPS board or any other funding authority in case funding comes from outside MU but administered through DRPS.

7. Research Seminars, Workshops, Conferences and Publications
Researchers shall be required to give seminars in conferences and research workshops at the conclusion of their research work. The presentations will be the last activity to be handled by the researcher(s) before preparation of final report for publication. Researchers shall also be required to publish at least one paper or book chapter from their research projects to reputable journals.

8. Final Research Report
A draft final research report shall be submitted in the format provided in Annex VII. This should include all the data, results and findings obtained during the execution of the
The draft final research report should be sent to the FRPC, which shall appoint an independent reviewer. The reviewer shall submit a report to the FRPC within one month after receipt of the researcher’s report. The guidelines for reviewers are given in Annex VIII.

Researcher(s) will be required to modify the draft report in accordance to the reviewer’s recommendations if there are no major differences in opinions. In the case of serious technical differences in opinions, the FRPC will have to appoint a second independent reviewer. After the second reviewer’s report the FRPC will have the final say on the report.

Three copies of the final research report accepted by FRPC shall be submitted to the DRPS board for final approval. All approved research reports will have a unified code number assigned and shall be published by the University. Copies will be distributed to relevant University Offices, the main library and key stakeholders. The abstracts of the approved research reports shall be published in the University Research Bulletin. Electronic versions will also be uploaded into MU institutional repository system for wider accessibility and dissemination.
ANNEX II: FORMAT FOR RESEARCH PROPOSALS

A: TECHNICAL ASPECTS

1. Title of the Research Project
The title should be clear and sufficiently descriptive reflecting the nature and theme of the proposed work. After approval the title cannot be changed without the written consent of the respective FRPC.

2. Abstract
The abstract should summarise all the main ideas in the proposal in terms of theory, methodology and expected output.

3. Statement of the Research Problem and Significance
State clearly the general research problem or issue(s) to be studied and the immediate significance of the proposed research.

4. Research Objectives and Scope
State explicitly the goal(s) to which the solution of the stated research problem(s) will contribute. Specific objectives and targets must be clearly stated in order to facilitate monitoring and evaluation of the project. The scope of the proposed study should be stated clearly so as to justify the proposed research budget.

5. Statement of Research Hypotheses/Questions/Claims/Propositions
Research hypotheses, claims or propositions are intended to focus on key variables that the researcher intends to study. Hypotheses are not necessary for each research project. Some frameworks of analysis and research methodologies may not lead to hypotheses.

6. Literature Review
The research fund applicant must show the interrelationship of what has been done by others in the field and what the study intends to do. It should reflect a thorough survey of the existing state of knowledge (theoretical and empirical) and how and in which way the
intended work is going to contribute to the advancement of knowledge in the context of the problem to be solved or bring about socio-economic development.

7. Research Methodology
A research proposal should indicate the main research design and methods to be used in population sampling and data collection. The chosen methodology should be rationalized in terms of the research objectives and conceptual framework. This section should also describe the facilities and major items or equipment to be used.

8. Anticipated Output and Usage
Specific findings related to the research problem(s) or issue(s) constitute the anticipated output of the project. The output must tally with the stated research objectives. Steps taken or planned to utilize the research results should also be discussed, mentioning direct and indirect beneficiaries of the research output.

9. Bibliography/References and Appendices
Bibliography or references shall follow the APA style in which each source is cited using the following system: author, date, title, place of publication and publisher. The pagination shall be standard. The length of the proposal shall not exceed 20 double-spaced pages.

B: ADMINISTRATIVE ASPECTS
1. Summary of the Research Project
A brief “administrative” summary of the proposed research project should be submitted. The summary should focus on research objectives, methodology, rationale, equipment requirements, project duration, action plan and researcher/s curriculum vitae. Some of these items are elaborated below. The summary should not exceed two pages followed by necessary appendices/budget and action plan.

2. Research Budget
The estimated budget for the research proposal should be itemized and presented in a clear format as shown in Annex IV. The applicant should show the breakdown of all
the funds being requested under the following categories: equipment (type of equipment and costs); travel (fares and places to be visited), and others (specify). Where the applicant has applied for funds from other sources they should be specified.

3. Justification and Rationale
The section should summarize the importance of the project by stating the anticipated benefits of the project and expected users. Justification should focus on feasibility, revenue and utility of the research project.

4. Action Plan
The proposal should, indicate the roles of the key researchers and assistants (if applicable) and timing of their involvement. The action plan should also indicate how the work will be organized and managed. Specific milestones and responsibilities should be indicated.

5. Curriculum Vitae (CV)
CVs of all researchers should be attached to the administrative summary.
ANNEX III: FORMAT FOR EVALUATION OF RESEARCH PROPOSALS

1. TECHNICAL EVALUATION

Title of research Proposal:

Rating Codes:

1 = weak, 2 = average, 3 = good, 4 = very good

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>RATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Is the title reflective of the research theme?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>2. Is the rationale/justification and scope clearly written?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>3. Is/Are the research question(s) clearly presented?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>4. Is/Are the research question(s)/problem relevant to the research theme?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>5. Is/Are the objective(s) of the research clear and related to the theme?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>6. Is the literature review appropriate and adequate?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>7. Is/Are the hypothesis(es) claims/propositions appropriate and testable?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>8. Is the proposed methodology appropriate?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>9. Is/Are data analysis technique(s) appropriate?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>10. Is the research problem important and relevant to MU research agenda?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>11. Quality of text (editing and presentation)</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>12. Is the list of references exhaustive and properly presented?</td>
<td>1 2 3 4</td>
</tr>
</tbody>
</table>

TOTAL SCORES

Proposal Recommended/Not recommended:

Date:

NOTE: Use a separate sheet of paper for detailed comments on each of the above sections.

For the proposal to deserve funding, it must score a minimum of 50% of the Technical Evaluation Points.
2. **ADMINISTRATIVE EVALUATION**

Title of research Proposal:

Rating Codes:

1 = weak. 2 = average; 3 good; 4 = very good

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>RATING</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. The overall adequacy of the summary of the Research project</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>2. Is the action plan feasible?</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>3. Is the proposed budget realistic (comment below on over estimation or under estimation)</td>
<td>1 2 3 4</td>
</tr>
<tr>
<td>4. How good and feasible is the dissemination plan?</td>
<td>1 2 3 4</td>
</tr>
</tbody>
</table>

**TOTAL SCORES**

For the proposal to deserve funding it must score a minimum of 50% of the above rating scale.

Additional comments on the proposed budget.

-----------------------------------------------------------------------------------------------------------------
ANNEX IV: STANDARD RESEARCH BUDGET FORMAT

SUMMARY OF A RESEARCH PROJECT BUDGET

Faculty/Directorate/Institute/Department__________________________

Research Title________________________________________________

Principal Researcher___________________________________________

<table>
<thead>
<tr>
<th>COST CODES</th>
<th>Initial Phase</th>
<th>Final Phase</th>
<th>COMMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0 DIRECT COSTS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 Equipment, books, tools cost (if any)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.2 Literature</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>1.3 Payments to supporting staff</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>1.4 Labour costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.5 Consumable materials</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.6 Report writing costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.7 Dissemination workshop seminars</td>
<td></td>
<td></td>
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<tr>
<td>2.0 TRAVEL AND TRANSPORT</td>
<td></td>
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</tr>
<tr>
<td>2.1 Travel to/from Mzumbe</td>
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<tr>
<td>2.2 Local Transport</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>2.3 Special requirements</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.0 ACCOMODATION COSTS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.1 External Assignment per diem(s)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3.2 Other costs</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.0 ALLOWANCES (payable to researchers)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.0 RESEARCH ADMINISTRATIVE COSTS</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.1 Overhead charge of 10% of the total cost of the project</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2 Contingencies (allow for 10%)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

GRAND TOTAL: ________________________________________________
Disbursements:

Initial Phase (after approval of research proposal by DRPS) 
Signed Date

Final Phase (after data collection)
Signed Date
ANNEX V: RESEARCH CONTRACT FORMAT

DIRECTORATE OF RESEARCH, PUBLICATIONS AND POSTGRADUATE STUDIES

CONTRACT TO UNDERTAKE RESEARCH

This is the research agreement between:

Mzumbe University (the “University”)

and

Researcher(s)

Researcher (s) name (s):

1. ______________________________________
   (Principal Researcher)

2. ______________________________________

3. ______________________________________

4. ______________________________________

A: TERMS AND CONDITIONS

1. The Principal Researcher and co-researcher(s) mentioned above, undertake to carry out the research project entitled

   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________
   __________________________________________________________________________

the details of which are contained in the attached approved research proposal.

2. The duration of undertaking the research will be _____________(years/months/day).
Starting date: ____________________ End date: ____________________

3. Total funding in Tshs.  -----------------------------------

4. Disbursements schedule:

   Initial phase: Tshs: -----------------------------------
   Final phase: Tshs: -----------------------------------

5. The payment will be in accordance with the approval schedule that is attached to this Contract.

   All supporting staff and services (research assistants, secretarial, technical and auxiliary) will be from the University unless permitted otherwise by the directorate responsible for research.

6. The funding authority reserves the right to withhold payment partially or fully if it is not satisfied with the progress of the research project.

7. The researcher(s) shall be required to refund the funding authority all funds received fully or in part in case of non-performance.

8. The University will have copyrights on the University funded research projects and it will act as a guarantor for externally funded research projects.

9. The research project has been assigned a unified Mzumbe University code No._____________

10. The external funding authority may transfer copyright rights to the researcher or to the University whenever it is deemed necessary.

11. The view and opinions expressed in the research are of the researcher(s) and not reflecting the views of the funding authority.
B: DECLARATION

We the undersigned accept the above-mentioned terms and conditions.

Principal Researcher (name & signature): ________________________________

Witness (name & signature): ________________________________

Director, DRPS (name & signature): ________________________________

Date: ________________________________
ANNEX VI: RESEARCH PROGRESS REPORT FORMAT

SECTION A: SUMMARY OF ADMINISTRATIVE INFORMATION

1.1 Project Number & Title: __________________________________________________________

________________________________________________________________________________

________________________________________________________________________________

1.2 Name of Faculty/Institute: Department
1.3 Period (month, year) covered by this report: From _________ To ____________

1.4 Period (month year) covered by previous progress report: From ______ To ______

1.5 Starting date of project: ___________________________________________________

1.6 Estimated duration of project: __________________________________________
   Date of estimated completion: ____________________________________________
   Initial date of estimated completion: _____________________________________
   Latest estimated date of completion: _____________________________________

1.7 Estimated cost of the Project (in Tshs.) _________________________________

1.8 Funds allocated to the Project (in Tshs.) _________________________________

1.9 Disbursement schedule (depending on the nature of the project):

   ___________   ___________

   Initial Phase       Final Phase
SECTION B: COMMENTS ON PROJECT OBJECTIVES

Briefly state the project objectives, indicate which (if any) are changed or new, and give the reason for any revision (1) since the start of the project, and (2) since the latest progress report.

SECTION C: SCIENTIFIC PROGRESS

Include sufficiently detailed summaries of work carried out and results obtained to permit an informed critical scientific assessment of the work by the respective committees and peer reviewers. Summaries should be complete in themselves and as brief as possible, consistent with specific agreed action plan of the research project.

SECTION D: PROGRESS TOWARDS ACHIEVING PROJECT OBJECTIVES.

Describe advances and/or problems encountered towards the completion of the Plan of Work for this reporting period. Interpret new findings in terms of the objectives of the project and state if they are expected to increase (or decrease) the duration, total cost, and/or likelihood of success of the project. If findings indicate potentially fruitful alternative and/or additional lines of research, indicate so with sufficient explanatory information to ensure understanding by reviewers.

SECTION E: FINANCIAL STATEMENT OF INCOME AND EXPENDITURE DURING THE PERIOD COVERED BY THE REPORT

PERIOD COVERED (DATE) FROM_______ TO _______

<table>
<thead>
<tr>
<th>Amount 1</th>
<th>Funds 2</th>
<th>Funds 3</th>
<th>Balance 4</th>
</tr>
</thead>
</table>
EXPENDITURE ITEM                      Brought    Received    Expended
                                    Forward

(i) Direct expenditure
(ii) Travel and transport
(iii) Research allowance
(iv) Research assistantship

Amount should be shown in Tshs.

The break-down should be as shown in the budget approved for the report period
Include funds expended for which commitments have been made.

This amount is the sum of amounts in the first two columns, less the amount in the third. The balance should be reconciled with approved budget indicated in Annex IV.
ANNEX VII: FINAL RESEARCH REPORT FORMAT

   i. Abstract
   ii. Acknowledgements
   iii. List of Tables
   iv. List of Figures
   v. List of Symbols
   vi. Table of Contents
   vii. Introduction
   viii. Research Problem
   ix. Objectives
   x. Literature Review
   xi. Methodology
   xii. Results/Findings
   xiii. Analysis and Discussion of the Results/Findings
   xiv. Conclusions and study implications
   xv. References/Bibliography
   xvi. Tables
   xvii. Plates
   xviii. Figures
   xix. Appendices

2. Report Format
   i. All headings should be left-justified.
   ii. Line spacing should be single and fonts should be 12 cpi.
   iii. Times new roman
   iv. Left margin should be 1.25” and 1” in other sides (or 3 cm and 2.5 cm).
   v. Typing should be on both sides of the A4 page.
   vi. Format for quoting reference numbers in the text and references should be standard. British Citation Standard BS 5605: 1990 is recommended. Any other standard that is recommended for certain professions could also be used.
vii. Citations/references should follow the APA style

3. **Electronic Copy**

   For purposes of inclusion in the University database, an electronic copy of the report based on commonly used software shall be submitted.
ANNEX VIII: GUIDELINES FOR RESEARCH REPORT PEER REVIEW


Editorial quality comments
Layout Comments
Length Comments
Quality of Reference comments
Adherence to general requirements (fonts, line spacing, margins etc.) comments:

2. Detailed Evaluation.

Evaluative Questions and Comments Yes No

Abstract:
Does the abstract adequately summarize the report?
Comments: ________________________________ ( ) ( )

Introduction:
Is the introduction sufficiently detailed for this form of research?
Comments ________________________________ ( ) ( )

Objectives:
Are the research objectives clear and do they reflect what has been achieved in this research?
Comments ________________________________

Literature Review:
Is literature review relevant, sufficient and up-to-date?
Comments ________________________________

Research Methodology:
Is the research methodology sufficiently described?
Comments ________________________________
Analysis and discussion of results.
Is the analysis accurate and exhaustive?

Comments________________________

( ) ( )

Comments________________________
Is the discussion of the results accurate, exhaustive and conclusive? 

( )

Comments ____________________________

Results:
Are the results expected accurate and well represented?

Comments ____________________________

Conclusion and study implications:
Are the conclusions and Study implications relevant and consistent?

( )

Do the conclusions and study implications match the research objectives?

( )

Comments ____________________________

References:
Are the references/bibliography relevant, exhaustive and up-to-date and properly presented?

( )

Comments ____________________________

3. Recommendations.
Would you recommend that the report be published:

( ) Without Changes
( ) With minor changes
( ) With major revisions
( ) Not to be published due to poor quality

Reasons: 1.
2.
3.
4.
ANNEX IX: GUIDELINES FOR RESEARCH EQUIPMENT PROCUREMENT MANAGEMENT AND TRANSFER.

Research equipment is apparatus used primarily for research. It may be purchased as a complete unit, donated/loaned by a sponsor/funder or fabricated from component parts at Mzumbe University. The University will endeavor to ensure that grant funds and equipment are deployed in a manner which best achieves the outcomes expected from the research that has been funded. Relevant units and principal investigators (PI) work cooperatively to ensure that the University policies on research equipment and requirements of the granting agency/sponsor are adhered to.

Purchase of Research Equipment

The purchase of research equipment may be initiated only when the equipment is essential to a research project and is not already reasonably available and accessible elsewhere on campus. Mzumbe University policy requires that all special purpose equipment be shared by investigators to the maximum extent possible, although this shared use must not, of course, interfere with regulations of the sponsors, the terms under which the equipment was acquired, or work on a project for which the equipment was acquired. Purchase of research equipment shall be guided by the University policies and procurement procedures.

Ownership of Research Equipment

Most granting agencies normally require that universities retain ownership of equipment purchased from research grants at the end of the research period. It is a policy at Mzumbe University that all equipment purchased through research funds be owned by the University, as the equipment can be utilized for further research and for teaching purposes. Researchers are therefore advised encouraged to arrange that ownership of equipment purchased from research grants and contract funds shall be permanently vested in the University. However, when such ownership will involve the University in space or budget requirements after the research is completed, approval shall be obtained from the appropriate administrative authorities before the contract is signed. Whenever University ownership of research equipment cannot be negotiated, the staff member or the responsible officer concerned shall, before completion of negotiations, send copies of the relevant contract, correspondence to the Vice Chancellor through the Deputy Vice Chancellor.
Departure of Staff

In most cases University research-related equipment, which may have been purchased as part of an externally-funded research grant or contract, will remain with the University and not follow a Principal Investigator who leaves the University for any reason. If the equipment was purchased under an external grant or contract any transfer will be subject to the relevant terms of that grant or contract.

Transferable Equipment

The transfer of research equipment to another institution with a transferring faculty member may be effected when:

a. The research equipment was brought to the University by the faculty member from a previous institution.

b. The equipment was purchased or built with sponsored research funds or was furnished by the sponsor who requests the transfer.

c. The steps listed below are followed:
   i. The faculty member concerned must initiate the transfer request.
   ii. The request is reviewed by the department/center/dean who may recommend approval or not. Approval would certify that the equipment is not needed in the department/center/school for teaching and/or research.
   iii. The request will be considered by the Deputy Vice Chancellor (Academics) and approved by the Vice Chancellor who may approve or deny it. Approval would certify that the equipment is not needed in any other department in the school concerned.

Non-Transferable Equipment: It is the policy of Mzumbe University not to approve requests to transfer research equipment to another institution in the following situations.

a. The equipment was procured or built at the University expense.

b. The equipment was procured or built using external funds and title/ownership has been vested in Mzumbe University
**Transfer of Consumable Items:** All consumable items remain the property of the University and may not be transferred to another institution unless written approval has been provided by the Vice Chancellor on the recommendation of the Deputy Vice Chancellor (Academics)

**Individual Responsibilities**

Several individuals/groups are responsible for the procurement, management, transfer, and disposition of research equipment. These include the following:

a. Principal Investigators are responsible for identifying the need for research equipment, determining if such equipment is available on campus, and (if appropriate) initiating purchase of new equipment. They must make sure that equipment under their jurisdiction is properly used and maintained.

b. Deans/Department Chairs/Center Directors (or their designates) are responsible for seeing that research equipment in their Schools/departments/centers is accounted for and optimally utilized.

c. The Directorate of Research and Publications will maintain an inventory control and assist in shared use of research equipment by identifying available items through inventory records.

**Management of Research Equipment**

Principal investigators are responsible for the custody, care, and maintenance of all research equipment acquired through or furnished to their grants, contracts, and other agreements. A current and accurate inventory listing of all research equipment must be maintained with all equipment being physically inventoried at least biannually. The dean, department/center chairs/directors (or their designates) are responsible for reporting significant changes in the location, condition, transfer, and disposition of research equipment.

**Shared Maintenance/Operating Costs**

Maintenance and operating costs may be shared by investigators in proportion to shared use. These may be handled in any manner agreed to by the parties concerned.
ANNEX X: GUIDELINES FOR COPYRIGHT MATERIAL

A. Copyrightable Instructional Materials
Copyrightable instructional materials include, but are not limited to, the following: books, texts, glossaries, bibliographies, study guides, laboratory manuals, syllabi or tests, lectures, musical or dramatic compositions and scripts, films, filmstrips, slides, charts, transparencies and other visual materials, video and audio recordings of presentations, programs or performances, programmed instructional materials and computer programs; computer software; and educational multimedia projects incorporating various copyrighted media formats including, but not limited to, motion media, music, text material, graphics, illustrations, photographs and digital software which are combined into an integrated presentation.

B. Developmental Conditions
Copyrightable instructional materials may be produced or developed under the following conditions:

i. No Mzumbe University support or involvement;
ii. Minimal Mzumbe University support or involvement;
iii. Substantial Mzumbe University or institutional support or involvement.
iv. As an assigned duty or pursuant to a work-for-hire agreement;
v. With support from an extramural sponsor.

C. Ownership Interests
When the production of copyrightable instructional materials is the primary purpose of an employment or independent contractor relationship with Mzumbe University, the Mzumbe University institution shall own all rights, including copyrights, in the materials produced, and a written work-for-hire agreement shall be executed. Under the work-for-hire agreement, fair payment shall be made to the author of the copyrightable instructional materials and the University shall receive all rights, including copyrights, to the materials, together with any royalties and fees. When copyrightable instructional materials are produced as an assigned duty of employment, the University shall own all rights, including copyrights, in the materials produced, together with any royalties and fees, unless a contrary agreement has been reached prior to the beginning of the project between the author and the Vice-Chancellor or his or her designee. When copyrightable instructional materials are
produced with extramural support, the agreement with the extramural sponsor shall be considered in determining the copyright and ownership rights of the parties.

D. Contractual Guidelines

The conditions of production, use and final disposition of copyrightable instructional materials will vary from project to project. Where such materials are to be produced, it is necessary for the authors and the institution to enter into a written agreement prior to beginning the project that defines the rights and responsibilities of the author and institution, and where possible, describes the interests of any extramural sponsors or other participants in the project.

A. Author and Institutional Responsibilities

i. The Vice Chancellor or his/her designee shall be responsible for determining whether a project is suitable and reasonably related to the academic mission of the institution.

ii. The sponsoring department or functional equivalent shall be responsible for designating an individual (“the responsible individual”) to assume responsibility for the content and structure of the project.

iii. The responsible individual will be responsible for obtaining clearances or any necessary permission for the use of previously copyrighted materials, which are planned for inclusion in the project.

iv. The responsible individual will also be responsible for obtaining any necessary agreements, waivers and releases of rights from project participants in connection with their contributions to the project.

B. Internal Use

i. “Internal use,” as used in this section, means use by Mzumbe University department or School within University, by any means including broadcast, closed circuit television, compressed video, digital software or multimedia formats.

ii. Internal use and sharing of instructional materials should be encouraged. Accordingly, agreements developed under this policy should address internal use, and may provide that any charges by the producing department/school Mzumbe
University department/schools System institutions for internal use of copyrightable instructional materials be limited to reflect actual, direct costs incurred by the producing institution, such as production, promotion, handling and duplicating.

C. External Distribution

i. Distribution external to the Mzumbe University may occur either through direct rental, sale or licensing by the producing Mzumbe University departments / Schools or its designee, or through commercial rental, sale or distribution by a third party publisher under an agreement for payment of royalties.

ii. Release of instructional materials for external distribution shall be negotiated between the institution and the author. Whenever possible, the results of the negotiating process should be incorporated in the pre-project agreement developed under this policy. Since it is not always possible to anticipate all future uses of the instructional materials, the agreement should also provide that additional uses may be arranged upon further negotiation.

Revision or Withdrawal

Where the University Council on behalf of the University owns a copyright interest in instructional materials, the materials should receive timely and periodic review by users and producers to insure currency and relevance, consistent with the following:

i. Copyrightable instructional materials shall not be altered or revised without consultation with the author.

ii. If the producing institution continues the use of copyrightable materials, or authorizes the use of such materials by others, contrary to the recommendation of the author, the producing institution shall not advertise or present the materials as the work of that author, except to the extent appropriate to acknowledge the author’s participation in the original production of the copyrightable materials.

iii. The author shall be offered the opportunity to assume responsibility for the revision of the instructional material. If the author declines, the Vice- Chancellor or his or her designee will make the assignment of responsibility.

iv. The author should be consulted when instructional materials are considered for uses other than the ones for which they were produced.
Remuneration Issues

A. Production

i. A sponsoring department or its functional equivalent may grant released time from regularly assigned institutional duties to an author of copyrightable instructional materials.

ii. Released time under this section would normally be granted in the stages of planning, production, presentation, evaluation, and revision, including the first and subsequent semesters of utilization.

Computer Software Ownership

To encourage the production and distribution of creative works, the Tanzanian legal system, has established property rights for inventions and writings through patents and copyrights. Ownership of these properties is reserved to the creator for a limited time during which the creator may sell, lease or distribute the product of his/her efforts. The purpose of these limited rights is to establish an incentive to make the fruits of individual creativity available to society at large. Although governmental agencies and most businesses assert ownership of the intellectual property created by their employees, Mzumbe University has not typically done so. Such ownership provides the opportunity to withhold as well as disseminate. Ownership of intellectual property by the University would provide a general right, and perhaps a responsibility to censor; this runs counter to the University mission to engage in open innovation and inquiry. Individual ownership is also more consistent with the self-directed nature of much university work. The intellectual property in original works of authorshipsuch as books, articles and similar works, is protected by copyright, which is held to exist at the point the material is created. As with patents, ownership at the University is normally vested in the creator. International Copyright law has been amended recently to include computer software. One provision called “work for hire” states that when an employee is specifically directed to produce a software product as a condition of employment, ownership rights including copyright rest with the employer.

The following statements provide guidelines software ownership:

i. It is the policy of Mzumbe University that ownership of software created as a consequence of individual scholarship be vested with the creator.
ii. If the software is created under the sponsorship of a grant or contract, the ownership should be defined before the project is undertaken.

iii. If the software development is a joint effort (i.e., faculty and graduate students) the rights of ownership should be defined before the project begins.

iv. If the software is developed by an employee hired for that purpose, the software is owned by the University.

v. Each school/Department should inform faculty, students and staff of their ownership rights.
Annex XI: Application for research ethical clearance at Mzumbe University

APPLICATION FOR ETHICAL CLEARANCE

Complete ALL sections of this form. An incomplete application will not be reviewed, and may delay the approval process.

Completed forms must be submitted electronically to the office of research, publications and postgraduate studies (DRPS), Mzumbe University at drps@mzumbe.ac.tz. Researchers should visit or contact DRPS for more information or for any specific questions regarding their application.

SECTION A

<table>
<thead>
<tr>
<th>Project Title:</th>
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</thead>
<tbody>
<tr>
<td>Principal Investigator (PI):</td>
</tr>
<tr>
<td>Name:</td>
</tr>
<tr>
<td>Title:</td>
</tr>
<tr>
<td>Telephone:</td>
</tr>
</tbody>
</table>

List all Co-Investigators below, including those from other institutions:

<table>
<thead>
<tr>
<th>Name</th>
<th>Responsibility on Research Project</th>
<th>Degree(s)</th>
<th>University/College</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
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<td>2.</td>
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<tr>
<td>3.</td>
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</tbody>
</table>

SECTION B - Project funding, purpose and research design

1. Current or planned funding source (internal or external)

Is project funding sought/achieved? [ ] Yes (complete question 1) [ ] (skip question 1)

Funding Source:

Grant/Contract No. (if available):
Time period of Grant Funding:  
Please provide grant methodology details:

2. Possible conflict of interest  □ Yes (complete question 2)  □ (skip question 2)  
Will members of the research team have financial interest in, receive personal compensation from, or hold a position in an industry sponsoring this study or otherwise have a potential conflict of interest regarding the conduct of this study?  
Please provide details:

3. Purpose of Research Project  
Provide a brief summary below (i.e. not more than 300 words) of the purpose of the project in layman’s terms, including background information as necessary, research question(s), and importantly, an explanation of why this study is needed.  
Please provide summary:

4. Brief description of the research design, methods and procedures (A copy of all data collection instruments must be attached to this application).  
Provide a description below of the research design (including steps and methodology), what kinds of data will be collected, details on the primary outcome measurements, and follow-up procedures or actions anticipated.  
Please provide description:

SECTION C - Proposed research subjects  
NOTE that guiding ethical principles for research include consideration for ‘distributive justice’, meaning that no segment of the population should be unfairly burdened with research
involvement, and ‘beneficence’, meaning that there is a duty to benefit others, to maximize net benefits for society and the advancement of knowledge, and to ensure that there is neither discrimination nor neglect against individuals or groups who may benefit from advances in research.

1. Proposed subject representation

<table>
<thead>
<tr>
<th>Expected number of subjects:</th>
<th>Expected student representation:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Expected gender representation:</th>
<th>Expected age of subjects:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

2. If you are planning to undertake a sampling of the population (how many subjects, and who these subjects ideally would be)

Please explain your proposed sampling method:

3. Characteristics of the study population

List required characteristics of potential subjects and those that preclude participation. e.g. inclusion criteria may be that the subjects must exhibit a particular health concern, or must be a particular age or gender; exclusion criteria may also be dictated by age, occupation, gender etc, according to the needs of your research.

<table>
<thead>
<tr>
<th>Inclusion criteria:</th>
</tr>
</thead>
<tbody>
<tr>
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</table>

<table>
<thead>
<tr>
<th>Exclusion criteria:</th>
</tr>
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<tbody>
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<td></td>
</tr>
</tbody>
</table>

4. Requirements for participation

What you expect subjects to do, how long their involvement is expected to take, whether this project requires one-off or multiple activities.

Please provide details:

5. Location of subjects when participating

Please provide details:
SECTION D - Obtaining free and informed consent

Individuals have the right to make free and informed decisions about their consent to participate in a research project. This consent includes having an understanding (in an appropriate language, at an appropriate language level) of what they are being asked to do and why, and that they willingly agree to participate without coercion or undue enticement to do so.

1. Vulnerable populations
If you are planning to involve any of the following population groups in this project, please detail below:

<table>
<thead>
<tr>
<th>Non-English speakers</th>
<th>YES</th>
<th>NO</th>
<th>People in prison or armed forces</th>
<th>YES</th>
<th>NO</th>
</tr>
</thead>
<tbody>
<tr>
<td>People with a cognitive disability</td>
<td>YES</td>
<td>NO</td>
<td>Refugees in camps</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>People with a physical disability</td>
<td>YES</td>
<td>NO</td>
<td>Illiterate people</td>
<td>YES</td>
<td>NO</td>
</tr>
<tr>
<td>Children (5 -18 yrs)</td>
<td>YES</td>
<td>NO</td>
<td>People over 60 years</td>
<td>YES</td>
<td>NO</td>
</tr>
</tbody>
</table>

2. How will informed consent be obtained?
Detail the process for obtaining informed consent, and attach any consent forms proposed. If non-English speakers or poor levels of English language understanding are anticipated, then consent information should also be attached in the language of the proposed subjects.

Please provide details:

3. Are there any anticipated inducements for participation (e.g. monetary payment), or costs to be borne by subjects (e.g. travel costs)?
Please provide details:

SECTION E - Confidentiality and data storage

1. Confidentiality
How you will protect the confidentiality of the data collected, and protect against risks of breach of confidentiality or invasion of privacy. (For example, where will paper and/or electronic data be stored?; What security measures will be applied in each situation? Specify procedures for data sharing with entities external to Mzumbe University; Provide a timetable and method for destroying the data) etc
SECTION F - Data analysis and outcomes

1. How will the data be evaluated? Where and by whom will data analysis be performed? Are research assistants adequately trained and experienced to manage the type of data being collected?

Please provide details:

SECTION G - Attach all relevant documentation

<table>
<thead>
<tr>
<th>Copies of all data collection instruments, including surveys, interview questions, etc</th>
<th>YES</th>
</tr>
</thead>
<tbody>
<tr>
<td>Copy of all consent and information forms, including translated forms, as appropriate</td>
<td>YES</td>
</tr>
<tr>
<td>Copy of any wording, advertisement or script etc intended to use when recruiting subjects</td>
<td>YES  NA</td>
</tr>
<tr>
<td>Copy of any ethical approval for co-investigators external to MU, or collaborative institutions</td>
<td>YES  NA</td>
</tr>
<tr>
<td>Any other relevant documentation</td>
<td>YES  NA</td>
</tr>
</tbody>
</table>

SECTION H

I certify that all investigators involved in this research project have completed the required ethical clearance training, and that each of the co-investigators has accepted their role in this study.

I agree to a continuing exchange with the MU Research Ethics Committee and to obtain approval before making any changes or additions to the project.

I will provide progress and final reports as required by MU research guidelines or as requested by MU. I agree to report promptly to the MU Research Ethical Committee all unanticipated problems or serious adverse events involving risk to human subjects.

Signature of PI: __________________________ Date: ____________

OFFICE USE ONLY

<table>
<thead>
<tr>
<th>Date received</th>
<th>Date PI notified</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date checked and accepted</td>
<td>Date of change notification</td>
</tr>
<tr>
<td>Date(s) of committee review</td>
<td>Date of progress report</td>
</tr>
<tr>
<td>Date of meeting eligibility</td>
<td>Date of progress report</td>
</tr>
<tr>
<td>Date committee approved</td>
<td>Date of final report</td>
</tr>
</tbody>
</table>