

UNITED REPUBLIC OF TANZANIA

MINISTRY OF EDUCATION, SCIENCE AND TECHNOLOGY





GUIDELINES FOR INTERNAL RESEARCH AND INNOVATION FUNDING

April 2023



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FOREWORD

Moshi Co-operative University (MoCU) is a public institution that plays a pivotal role in

complementing the government's efforts towards attaining its development goals through

training, research and advisory services. MoCU continues to realign itself to meet the

national research agenda thereby contributing to the national development. The University

recognizes the role of research and innovations in addressing local, regional and global

challenges. In that regard, MoCU has continuously set aside funds to internally finance

strategic research and innovations of its staff.

In line with the above, and to ensure transparency and accountability while improving

the efficiency and effectiveness on the use of research and innovation funding, the

University decided to come up with the guidelines for managing internal research and

innovation funding. These guidelines provide plans and procedures for funds provision,

use and expected outputs on a number of aspects, which includes but not limited to:

eligibility criteria for grants application, how submission of applications is to be done,

criteria for assessing applications, grant awarding and contract signing, disbursement

and use of funds, as well as monitoring, evaluation and reporting.

It is our sincere hope that MoCU staff will diligently use this rare opportunity to advance

their career and in serving or assisting the community in addressing various challenges

encountering them in a more informed and research-based manner. Such staff are

therefore expected to adhere to these guidelines while reaping the expected benefits at

the maximum level.

Prof. Alfred S. Sife

Vice Chancellor

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ABBREVIATIONS AND ACRONYMS

DPF Directorate of Planning and Finance

DRPS Directorate of Research and Postgraduate Studies

KICoB Kizumbi Institute of Co-operative and Business Education

M&E Monitoring and Evaluation

MoCU Moshi Co-operative University

MPRU Marketing and Public Relations Unit

MUCCoBS Moshi University College of Co-operative and Business Studies

PI Principal Investigator

SUA Sokoine University of Agriculture

ToR Terms of Reference

DEFINITION OF TERMS

In these guidelines, unless the context requires otherwise:

"Academic staff" means a member of the University as stipulated by Rule 38

of MoCU Rules, 2015.

"Guidelines" means the internal research and innovation funding

guidelines.

"Internal research/ means research and project activities funded through

innovation funding" internally generated or mobilized University resources.

"Management" means the Management of MoCU.

"MoCU staff means academic and administrative staff of the

members" University.

"Quarterly" means after every three months.

"Project operator" means someone who is implementing a research or

innovation project funded by the University.

"Researcher" means someone who is implementing a research or

innovation project funded by the University.

"University" means MoCU.

1.0 INTRODUCTION

1.1 Institutional Background Information

The history of the Moshi Co-operative University (MoCU) dates way back to 5th January 1963 when the then Co-operative College Moshi was established. The College's primary responsibility was the training of human resource in the co-operative sector under the then Ministry of Co-operatives and Community Development. The College was subsequently established through the Co-operative College Act No. 32 of 1964 (Repealed) as an autonomous institution with its own Governing Board.

In 2004, the Co-operative College Moshi was transformed into MUCCoBS as the Constituent University College of Sokoine University of Agriculture (SUA) through the Government Notice No. 172 of 2004. MoCU came into being as a result of transforming MUCCoBS into a full-fledged University in September, 2014. The University is governed by its own Charter, made under the Universities Act No. 7 of 2005. MoCU is located in Moshi Municipality, on the foot of Mount Kilimanjaro along Sokoine Road. The University has an Institute located in Shinyanga Region along Tabora Road, namely Kizumbi Institute of Co-operative and Business Education (KICoB).

1.2 Vision

The Vision of the University is "To be an eminent academic institution committed to supporting co-operative and business development".

1.3 Mission Statement

The University Mission is "To promote sustainable co-operative and business development through quality training, research and advisory services."

1.4 Motto

The motto of the University is "Ushirika ni Biashara".

1.5 Objectives and Functions

The general objectives and functions of the University shall be to advance knowledge, wisdom, understanding, and enhance creativity through training, research, and advisory

services on all matters relating to co-operative development, rural transformation, business studies, information and communication technology, law, and any other relevant area of learning and knowledge at national and international levels. The specific objectives and functions of the University are spelled out in the MoCU Charter, 2015.

1.6 Core Values

The University's core values include cooperation, professionalism, integrity, transparency, accountability, social responsibility, equality, courtesy to all, creativity, and innovation.

2.0 OVERVIEW OF THE INTERNAL RESEARCH AND INNOVATION FUNDING GUIDELINES

2.1 Purpose of the Guidelines

This document sets out the University's commitment to promote research and innovation undertakings by the University community. The guidelines detail procedures to be followed in the organization of calls for proposals within the University. These guidelines are designed to provide details on the:

- (a) calls for grant applications;
- (b) applicants' eligibility criteria;
- (c) submission of applications;
- (d) review of the applications;
- (e) criteria for assessing applications;
- (f) grant awarding and contract signing;
- (g) disbursement and use of funds; and
- (h) monitoring, evaluation and reporting.

2.2 Scope of the Guidelines

The guidelines shall apply for internally funded strategic research and innovations projects or calls. The guidelines provide the basic set of principles, processes and applicable rules in line with commonly accepted standards at national and international levels. These guidelines have been integrated with the MoCU's Research Policy and Guidelines of 2017 and Research Agenda of 2020. This document is designed to provide the University with the procedural umbrella under which proposals and subsequent deliverables of the strategic research and innovations could follow the clearly stipulated procedures.

3.0 THE GUIDELINES

3.1 Call for Concept Notes/Proposals

The University shall issue calls for research and innovation concept notes/proposals which shall be open and competitive in nature. The University may, in special cases, commission team(s) to undertake strategic research/innovation.

Guidelines:

- (i) The DRPS shall float calls for competitive research to address the selected research priorities;
- (ii) The calls shall entail submission of concept notes prior to development of full proposals. However, in some cases, the call may invite submission of full proposals;
- (iii) The call shall be posted in strategic locations for it to be visible to staff. The locations include, but not limited to University website, social media platforms, staff mailing lists and notice boards:
- (iv) In a bid to promote gender equity, female applicants will be encouraged to apply as per MoCU's gender policy;
- (v) Once a call is issued, applicants shall be expected to submit a concept note/proposal within the prescribed time; and
- (vi) The grants shall be open to eligible members of the University community.

3.2 Eligibility Criteria for Applicants

To be eligible for research/innovation grant award, one must have applied and fulfilled all the stipulated criteria hereunder or as may also be prescribed in the call.

- (i) Applicant(s) must be a staff of the Moshi Co-operative University;
- (ii) Applicant(s) must have a concept note/proposal of the anticipated research or innovation;
- (iii) The proposed research or innovation must be within the MoCU priority research areas as stipulated in the MoCU's existing Research Agenda;
- (iv) The application must be submitted by the applicants themselves;

- (v) In the course of writing, applicants shall abide to the existing MoCU's guidelines for writing proposals, research reports, dissertations and theses, or as prescribed in the specific call;
- (vi) The concept note/proposal submitted should have not been funded earlier or submitted elsewhere to a funding agency; and
- (vii) More than one application may be considered for funding if each one is vetted separately;

3.3 Submission of Concept Note/Proposal

Concept notes shall be submitted online using MoCU submission system or any other method that will be prescribed in the issued call. Applicants are expected to adhere to all instructions provided in the Call for Applications.

- (i) The Principal Investigator (PI) shall be required to declare that the same concept note/proposal submitted has never been funded by any other funding agency;
- (ii) Upon receiving the application, applicant(s) shall be notified of the receipt;
- (iii) Upon submission of the application, each application shall be assigned a registration or identification number;
- (iv) If it is discovered that the same research or innovation is being funded by a different funder, the application shall be dropped;
- (v) If it is discovered that the same research/innovation project under MoCU's funding is being or was previously funded by a different funder, the applicant shall be required to refund the disbursement;
- (vi) Any concept note/proposal which its plagiarism content will exceed 30% as established using appropriate plagiarism test software will be dropped;
- (vii) The successful or approved concept notes/proposals shall be published on MoCU website or other platforms for the University community to be informed. Applicants not appearing (not shortlisted) in the published list shall consider themselves unsuccessful for that particular round;
- (viii) The DRPS shall write to all unsuccessful applicants acknowledging their participation and encouraging them to apply in future opportunities;
- (ix) For the purpose of ensuring staff career development and learning, efforts will be made by the DRPS to bring together successful and unsuccessful funding

- applicants to share the winning proposals writing skills and techniques/practices; and
- (x) The submission of concept notes/proposals shall be done as per the deadline specified in the call. Any concept note/proposal submitted after the deadline shall be considered unsuccessful.

3.4 Screening of Concept Notes/Proposals

The screening of concept notes shall be done within two weeks after the deadline of concept notes submission.

Guidelines:

- (i) Received concept notes/proposals shall be screened at the Directorate level;
- (ii) The screening shall be made to cross-check and establish;
 - (a) whether the received concept notes/proposals conforms with the requirements as stipulated in these guidelines or as provided in the call, and
 - (b) whether the received concept notes/proposals resembles or closely relate to an already funded proposal by MoCU or any other funder;
- (iii) Plagiarism software recognized by the University will be used to crosscheck the originality and authenticity of the proposed research idea; and
- (iv) The eligibility of the applicant shall be evaluated at this stage.

3.5 Review of the Application

The successfully screened applications shall be subjected to three different reviewers for review.

- (i) The reviewers shall be required to fill the confidentiality form and conflict of interest form before the review process and submit them to the DRPS;
- (ii) The DRPS shall prepare confidentiality form and conflict of interest form and provide the same to reviewers along with submitted proposals;
- (iii) After the submission of review report and selection of the successful applicants, the DRPS, upon approval by the DVC-ARC, shall provide feedback to successful applicants and unsuccessful applicants;

- (iv) The review shall not exceed two weeks to accomplish the task from the date when provided with the documents in case the submitted application is concept note and one month for the case of a proposal;
- (v) In case, the reviewer is unable to accomplish the task within the defined time, the assignment shall be revoked in writing and the work assigned to another reviewer;
- (vi) The previous reviewer shall be directed to destroy the concept in the form of hard and soft copies; and
- (vii) In case a concept note is submitted, successful applicants shall be required to develop full proposal.

3.6 Structure of the Concept Note/Proposal

Structure and items to be included in the research/innovation concept note/proposal shall be prescribed during issuance of the call.

3.7 Criteria for assessing the application

The received research/innovation proposals shall be assessed based on a number of criteria as detailed hereunder:

- (i) Relevance of the research proposal to the call and the MoCU's research agenda;
- (ii) Good mix between senior and junior members in the research/innovation team;
- (iii) Possibility of making impact to community;
- (iv) Novelty and originality of the proposal;
- (v) Scientific quality of the proposal;
- (vi) Feasibility of the proposed project; and
- (vii) Possibility of patenting the innovation.

3.8 Selection of Fundable Proposals

The selection of the proposals shall be guided by the reviewers' grades. There shall be three score grades i.e. 100-75% (recommended fundable proposals/projects), 74-65% (fundable proposals/projects subject to revisions), and below 65% (non-fundable proposals/projects). The selection of the fundable proposals shall follow the following guidelines.

- (i) Number of fundable proposals that have scores greater than or equal to 75%;
- (ii) If the number of eligible proposals (above or equal to 75%) has exceeded the required number of proposals (based on the existing budget), the ranking criteria shall be those with highest scores will be selected;
- (iii) If the number of proposals with recommended scores (75% and above) is less than the required number of proposals for funding (based on the existing budget), consideration shall be extended to 74-65% (fundable projects);
- (iv) If there are more than one proposal with the same scores at the lowest margin, then the proposals shall be selected based on the following criteria;
 - (a) Wide impact to communities,
 - (b) In line with the National research agenda
 - (c) National interest,
 - (d) Public demand,
 - (e) Potentiality for project up-scaling,
 - (f) Emerging/topical issues, and
 - (g) Potential to inform policy initiatives.
- (v) If all submitted proposals have scored less than 65%, the call shall be re-floated.

3.9 Awarding and Contract Signing

The DRPS in collaboration with the legal unit will make arrangement for the mechanism to review and distribute the contracts to the beneficiaries. The basis for contract signing shall consider the following:

- (i) A contract agreement will be signed between MoCU and the applicant;
- (ii) The contract shall clearly stipulate disbursement modalities and use of funds;
- (iii) The applicants with successfuly selected proposals shall be awarded contracts;
- (iv) Contract agreement shall be signed by successful applicants within two weeks after being issued with the contract;
- (v) Failure to submit a signed contract within a period of two weeks after the award shall lead to cancellation of the award; and
- (vi) The cancelled award shall be substituted with another qualified fundable applicants after an approval of the DVC-ARC.

3.10 Disbursement and Use of Funds

After signing of the contract and submission of all required documents, funds will be disbursed to awardees based on the following guidelines.

- (i) There may be two instalments. The first instalment shall constitute 70% of the project's budget, the next instalment shall constitute 30%;
- (ii) Disbursement of fund for the first instalment shall be upon signing of the contract;
- (iii) Funds for the last instalment shall be disbursed upon submission and acceptance of all deliverables;
- (iv) The grants must be used for the purpose for which they are budgeted for and properly accounted for. In case the grantee cannot proceed with the work, the already spent and unspent funds must be repaid to the University;
- (v) An analysis of the project's actual costs should be as per guidelines given by the University.
- (vi) The University shall not be bound to pay for the variance including extensions to the project without prior authorization;
- (vii) Funds not fully expended will be offset after receiving the reports;
- (viii) Duration for project execution shall be stated in the contract agreement between MoCU and the Applicant;
- (ix) All disbursement and use of fund shall abide to the University's financial regulations

4.0 MONITORING, EVALUATION AND REPORTING

4.1 Monitoring and Evaluation

The funded research/innovation projects shall be subjected to mandatory aspects of monitoring, evaluation and reporting. The main purpose will be to ensure proper and successful operation of the projects with regard to the set objectives.

4.1.1 Monitoring

The project operators shall be liable for providing clear report on monitoring of the project in the described manner and purposes. Monitoring will involve checking evidence on progress that have been made in order to record and confirm whether the desired objectives and plans are in the defined direction of success. The monitoring will lean on progress made in resources use such as time, money, people and materials.

Guidelines:

- (i) The secretariat through the DRPS upon receiving progress reports can establish some actual visit to the project site or project documents as means of verification of what has been reported; and
- (ii) The monitoring visits shall intend to study the actual achievements and the goals or objectives established of such milestone.

4.1.2 Evaluation

Evaluation of the research activity or project will be reported with regard to design, implementation and results of the completed or ongoing activities. Evaluation shall be well, systematically and objectively designed. Criteria to be used are relevance, fulfilment of objectives, efficiency, effectiveness and impact sustainability and the exit strategy. Evaluation may be done by both internal and external experts from and/or appointed by the DRPS.

4.2 Reporting

4.2.2 Quarterly Progress Reports

The researcher shall report quarterly on progress of their research/innovation activity.

Guidelines:

- (i) Researchers shall be required to submit filled progress report form in every quarter (after every three months);
- (ii) Submitted progress reports shall be well detailed to reflect the reality in the progress of the research/innovation; and
- (iii) A good progress report will set stem for other decision about pending funding or termination.

4.3 Termination of Contract

A contract can be terminated before completion of the research/innovation project. Conditions for termination shall be stipulated in the contract agreement between MoCU and the Applicant.

4.4 Withdrawal of Researcher

Personnel from the research/innovation team may withdraw from being part of the team. In case that happens, the following guidelines shall apply.

- (i) If the Principal Investigator withdraws from the research/project activity, the project team shall propose a new PI;
- (ii) The proposed PI shall be approved by the DRPS and the DVC-ARC shall be notified; and
- (iii) If a researcher other than the PI withdraws, the remaining researchers will have to decide on whether or not to co-opt a replacement and thereafter, the DRPS will be notified accordingly; and
- (iv) If the entire team wants to withdraw from undertaking a particular ongoing research/innovation, the PI will have to inform the DRPS in writings about the intention;
- (v) The DRPS upon getting approval from DVC-ARC, shall inform the team of decision of their request; and
- (vi) The team withdrawing from undertaking awarded research/innovation project shall return to the University the already spent and unspent funds.

4.5 Dissemination of Research Findings or Innovation Impacts

Upon successful completion of the research/innovation activity, the researcher in collaboration with the DRPS will be obliged to effectively disseminate the results to the target group directly or through relevant bodies and authorities.

Guidelines:

- (i) The researchers will be required to produce the following as deliverables:
 - (a) a technical report;
 - (b) a policy brief; and
 - (c) at least one publication in a recognized peer reviewed journal.
- (ii) Researchers must acknowledge the support received in all publications, presentations and other knowledge products originating from the funded project; and
- (iii) The DRPS in collaboration with the Marketing and Public Relations Unit (MPRU) may also use various strategies to disseminate the results, such as press release, presentations at seminars, workshops, conferences, public lectures, symposia, exhibitions etc.

4.6 Project ending/phaseout

4.6.1 The prior notification regarding project ending

Prior notification regarding project ending shall be issued to the researchers upon the projects ending.

- (i) The DRPS will officially notify the researchers on expiring date of the research/innovation project activity contract at least two (2) months prior to the closing date.
- (ii) The researchers will in turn respond to the notice by accepting observant within a week after a dispatched notification.
- (iii) The researchers will start to prepare for project ending by submitting all deliverables and handing over equipment (if any) within the last two months of the project execution.

4.6.2 Submission of deliverables

As part of project ending, all deliverables resulted from the research/innovation shall be submitted.

Guidelines:

- (i) The researchers, within the last two months of the research/innovation project shall be required to submit all required deliverables to the DRPS;
- (ii) The submission shall include both the technical report, policy brief, and at least one publication emanated from the research/innovation in a recognized peer reviewed journal;
- (iii) In case the article has not yet been published, researchers shall submit evidence of the same being under review in a reputable journal;
- (iv) The submissions will be subjected to internal or external (where applicable) rigorous reviewer for assurance of quality control;
- (v) To ensure consistency in the reporting, the DRPS will design and issue appropriate templates that will be used by researchers; and
- (vi) Deliverables shall be submitted along with evidence from the DPF that all disbursed funds have been well settled.

4.8 Late submission of Deliverables

In case of late submission of deliverables, the following guidelines shall apply.

- (i) All deliverables shall be due not later than one (1) month after the research/innovation project's end date;
- (ii) The DRPS shall give the researcher one more reminder prior to expiration of the last month after ending the research/innovation project;
- (iii) Failure to submit deliverables within the prescribed period may affect future funding to the researchers; and
- (iv) Upon approval by the DVC-ARC, researchers may be required to return to the University all research/innovation funds disbursed to them.

4.9 Misuse of research/innovation funds

In case of research/innovation funds, the following guidelines shall apply.

Guidelines:

- (i) In the circumstance whereby, the project did not indicate the value for money for the agreed objectives and milestones, and upon satisfied that the funds were misused, the University reserves the right to demand the researchers to return the misused funds; and
- (ii) The misused fund shall be returned within three (3) months of the termination or discovery of the fraudulent practice. It can also be returned by other means or time as per agreements by both the University and researchers.

4.10 Return of unspent funds

In case of unspent fund, the following guidelines shall apply.

- (i) Unspent funds must be returned to the University through the respective account as it may be directed. The bank account details or control number(s) will be communicated during the research activity or project phaseout notification; and
- (ii) The researchers could return unspent fund even before the project closeout given that they have assured themselves that the remaining fund will suffice to end the project.

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