

UNIVERSITY OF DAR ES SALAAM



GUIDELINES AND PROCEDURES FOR MANAGEMENT OF RESEARCH PROJECTS AND ACTIVITIES FUNDED FROM EXTERNAL SOURCES

Dar es Salaam, 2020

University of Dar es Salaam
Office of the Deputy Vice Chancellor, Research
P.O. Box 35091
DAR ES SALAAM

Tel/Fax: +255-22-2410473
Email: research@udsm.ac.tz
Website: www.udsm.ac.tz

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Name of Guidelines	Guidelines and Procedures for the Management of Research Projects and Activities funded from External Sources, 2020.
Description of Guidelines	The guidelines set out procedures and principles for the management of research projects and related activities funded from external sources.
Guidelines applies to	☒ University-wide ☐ Specific (<i>Outline location, campus, unit etc.</i>)
	☐ Staff only ☐ Students only ☒ Staff and Students
Status	☒ New Guidelines ☐ Revision of Existing policy
Description of Revision	Not applicable

Approval Authority	University Senate
Governing Authority	Senate Research and Knowledge Exchange Committee
Responsible Officer	Deputy Vice Chancellor, Research

Approval Date	10 th March 2020
Effective Date	11 th March 2020
Date of Last Revision	Not Applicable
Date of Review	11 th March, 2024

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Foreword

Research and scholarship is crucial to the mission of the University. It is the foundation of the ongoing generation of knowledge which is the basis of all disciplines. It directly contributes to social well-being, health, culture, economic development and the advancement of society. Research and scholarship can flourish only in a climate of academic freedom which includes freedom of inquiry and the right to disseminate the results thereof, freedom to challenge conventional thought, freedom from institutional censorship, and the privilege of conducting research on human and animal subjects. However, with academic freedom comes the responsibility to ensure that all research and scholarship: is informed by the principles of honesty, integrity, trust, professionalism, accountability and collegiality; meets high scientific and ethical standards; is conducted with honest and thoughtful inquiry, rigorous analysis, and accountability for the use of professional standards; and seeks to increase knowledge in ways that do not harm but which benefit society. The cultivation of these values in the University of Dar es Salaam community are advanced by the ongoing education of its members in matters of research ethics, and by adopting and following appropriate policies within which research and scholarship should be conducted, policies which all major funding agencies require universities to have in place.

These guidelines, therefore, establishes a general framework for the conduct of externally funded research. It is premised on individual responsibility for the selection and conduct of research and scholarship. Members of the University are best positioned, through special knowledge, to be aware of both the manner in which their research and scholarly activity is being conducted and the consequences of such activity. Special responsibility rests with principal investigators of these research projects to remain aware of the consequences of their research activities and to seek the potential benefits for the University and the country at large.

These guidelines should be interpreted in a manner that is consistent with the mission of the University to advance the economic, social and technological development of Tanzania and beyond through excellent teaching and learning, research and knowledge exchange. The guidelines do not replace the policies and guidelines of agencies sponsoring research, or which have oversight of particular research activities. Moreover, it does not replace other research related policies and guidelines of the University. Instead, these guidelines will function in collaborations with other university policies as well as national policies and regulatory frameworks. We envisage a more robust and aligned oversight and administration of future externally funded research with substantial returns to enrich the University of Dar es Salaam and continue raising its reputation as a respectable regional University.

Prof. William A. L. Anangisye
Vice Chancellor

Abbreviations

CAG	Controller and Auditor General
CC/STC	Corporate Counsel/Secretary to Council
CIA	Chief Internal Auditor
DHRA	Directorate of Human Resources and Administrations
DICA	Directorate of Internationalization, Convocation and Alumni
DPDI	Directorate of Planning, Development and Investment
DVC	Deputy Vice Chancellor
DVCs	Deputy Vice Chancellors
ICR	Indirect Costs Recovery
IPMO	Intellectual Property Management Office
IT	Information Technology
MoU	Memorandum of Understanding
ODVCR	Office of the Deputy Vice Chancellor, Research
PI	Principal Investigator
RA	Research Associate
Sida	Swedish International Development Agency
UDSM	University of Dar es Salaam
VC	Vice Chancellor

1. Introduction

The University's commitment to addressing research can be traced from the 1994 Institutional Transformation Programme (ITP) that set the stage for the appreciation of research projects and outcomes at the university. Management of Research and its importance have been deeply integrated in major UDSM documents such as the UDSM Vision 2061, UDSM Five-Year Rolling Strategic Plan 2014/2015–2018/2019; UDSM Corporate Strategic Plan 2014–2023 and UDSM Research Policy and Operational Procedures, 2015, whose several articles explicitly commit the University to research excellence, innovation and integrity. Review of all key policy documents, strategic plans, guidelines and circulars related to research has revealed a gap in the management and administration of externally funded research projects directly and thus the need for developing these guidelines for the purposes identified herein. These guidelines shall play an important role of spearheading the University's research agenda, vision and mission. Moreover, the guidelines shall afford more opportunities for researchers and strengthen existing structures within the University so as to create a dynamic environment for increased external funded research.

2. Purpose of the Guidelines

- 2.1 To establish a framework under which the University encourages high quality research to be conducted in a responsible manner.
- 2.2 To provide guidance to PIs, Colleges, Schools, Departments, Units and employees of the University for managing research projects and activities funded by external sources.
- 2.3 To ensure that a consistent approach is adopted for all externally funded research projects, all principles for development of projects are taken into account and the research enterprise remains sustainable and in compliance with relevant legislation.
- 2.4 To ensure that all externally funded research projects adhere to the University of Dar es Salaam Research Policy and Operational Procedures.

3. Definition of Key Terms

- 3.1 For the purpose of these guidelines, the terms below shall bear the following meanings:
 - a) *University* shall refer to the University of Dar es Salaam.
 - b) *Principal Investigator* shall refer to the lead researcher responsible for the conduct of the research project.
 - c) *Researcher* shall refer to university staff, research associates and students who carry out research on behalf of the University as part of their role or studies with the University.
 - d) *Head of Unit* shall refer to university staff who carries out an administrative and academic leadership role as Principal/Dean/Director of a College/School/Institute.
 - e) *Fellowship* shall refer to grant to support a research position.
 - f) *Collaborative Research Project* shall refer to an agreement between UDSM and one or more organisations in which all partners make contributions of in-kind and/or cash to conduct a research project for the benefit of all the parties

involved. Intellectual Property derived from the research is the property of the University; partners may be permitted to use the Intellectual Property on a exclusive or non-exclusive basis.

- g) *Commercial Research Project* shall refer to an agreement between UDSM and one or more organisations in which UDSM makes available the expertise of researchers to conduct a project at an agreed rate. Intellectual Property derived from the research will be negotiated between UDSM and the external organisation. Distribution of revenue accrued from the research project shall be distributed in alignment with the UDSM research Policy and Operational Procedures.
- h) *Research* shall refer to any academic activity aiming at systematic inquiry and creation of new knowledge, development of reliable solutions; improvement to existing conditions using scientifically proven methods of data collection, analysis and interpretation of the acquired data.
- i) *Research Grant* shall refer to funding for a research project resulting from either an application process which is open to more than one organisation, block grant i.e. *provided by government for a specific function*, or discretionary grant i.e. *agency selects awardee base on merit and eligibility*.
- j) *Research Funds* shall refer to any funding directed towards research activities.
- k) *Intellectual Property* shall refer to intangible property that is the result of creativity, such as patents, copyrights. Intellectual Property provisions of all grants, MoU/research agreements, and consultancies are subject to the UDSM Intellectual Property Policy.
- l) *External Funding (for Research)* shall refer to grants, capacity building, technical services, contracts, fellowships and any other external research income.
- m) *Full Costs for Research Project* shall refer to total of direct costs and indirect costs.
- n) *Indirect costs* shall refer to costs that are not directly attributable to a project but are incurred by the University in maintaining an environment and facilities for conducting the research activity. This includes, but is not limited to, utilities, library services, space, depreciation of physical infrastructure and facilities, information technology, and administrative support at School, Centre, College, Institute and University levels.
- o) *Direct costs* shall refer to costs directly attributable to an identified project. This includes costs that are sought from the Funder such as: wages, compensation and consumables, equipment (for the specific project in question) and travel.
- p) *Research Indirect Cost Recovery (ICR)/ Institutional Overheads/cost* shall refer to costs incurred in the administration/management of externally

sponsored research that are shared across research administrative units of the University. ICR rates shall align to the existing UDSM Research Policy and Operational Procedures.

4. Scope

- 4.1 The guidelines shall apply:
- a. to all UDSM staff, research associates and students undertaking externally funded research projects.
 - b. regardless of whether the University is the lead institution or a partner in a collaborative project.
 - c. to all proposals for external research funding and applications for external research grants.
- 4.2 These guidelines do not apply to grants and MoU agreements which are not research related.

5. Policy Statement

- 5.1 The University shall adopt a transparent methodology for costing research projects.
- 5.2 The minimum amount of funding requested from a granting body/sponsor must include the total of all direct and indirect costs of a research project.
- 5.3 Researchers are encouraged, wherever possible, to seek/apply full commercial rates, that is, prices in excess of the minimum as determined by these guidelines.
- 5.4 Where a research grant does not provide for indirect costs i.e. institutional fees, the University will make provision for indirect cost recovery by subsidizing from its resources and upon approval of the Vice Chancellor.
- 5.5 Where funding bodies have already specified higher minimum rates of indirect cost recovery than proposed here, the higher rates will remain in force. The University will reserve the right to charge a higher ICR if a higher maximum is provided for under the funder's stated policy.

6. Categories of External Funding Bodies

Determination of costing for external funding depends highly on the body/agency funding/sponsoring the research activities. For this purpose, these guidelines recommend categories of External Funding Bodies for the assessment of financial management.

- 6.1 *Category 1: Research Councils*: provide funding directed towards Universities based on their research aims. Funding can be used for individuals or partnership to setup capacity building programs for institutions. They shall provide full cost funding.
- 6.2 *Category 2: Industry/Commercial*: funding for industrial and commercial based research at fully economic costs in the development of new technologies.
- 6.3 *Category 3: Foundations/ Non-Government Organizations*: are bodies/organs that will provide full cost funding as they support research activities in institutions. These include non-profit organisations.

- 6.4 *Category 4: Government Departments and agencies*: are technical entities or sectors of the government that deal with particular areas of interest/specific sector of public administration. They shall provide full cost funding for research in Universities and where exceptions are identified and approved, the University may waive indirect cost recovery.
- 6.5 *Category 5: Development Partners*: are organisations working in partnership with national and local government bodies. They shall provide full cost funding for research in Universities.
- 6.6 *Category 6: Own-funded*: These are projects where UDSM staff use own resources to fund research activities. Such research projects shall be exempted from indirect cost recovery.

7. Research Project Approvals

- 7.1 Before a funded research project can commence, the Unit shall ensure that it fulfils requirements as stipulated in the UDSM Research Policy and Operational Procedures for approval, control and monitoring of research process.
- 7.2 The Unit shall submit a draft MoU/research agreement to the Office of the Corporate Counsel for vetting before the signing of the agreement.
- 7.3 Once vetting has been completed, the Vice Chancellor shall enter contractual obligations by signing the MoU/agreement on behalf of the University of Dar es Salaam and the research project.
- 7.4 Before a research project can commence, it has to adhere to the University of Dar es Salaam Research Ethics Policy and the University of Dar es Salaam Research Policy and Operational procedures.

8. Research Project Registration

- 8.1 The Principal Investigator must register the externally funded research project onto the Research Projects Registration System available at www.rims.udsm.ac.tz.
- 8.2 The requirements for registration of research projects shall include the following:
- a) Identification of the Principal Investigator, College/School/Institute/Department/Centre, research cluster and partner institutions.
 - b) Disclosure of project funds, duration and objectives.
- 8.3 The Principal Investigator shall carry the primary responsibility for the preparation of a proposal to an external funding agency.
- 8.4 Where a student or administrative staff prepares a proposal for submission for external funding, an academic member of staff who is a supervisor/mentor shall be registered as the PI and work in collaboration with the individuals who developed the project idea.

- 8.5 Where a foreign research associate (RA) is involved in the research, provisions given in the Guidelines for Postdoctoral Scholars and Research Associates shall apply in the registration and operations of the RA within the University and the research project.

9. Research Costing and Pricing Guidelines

- 9.1 All costs (i.e. direct and indirect costs) shall be identified when costing a research project, including both direct and indirect costs, regardless of whether they will or will not be met fully by the external funder.
- 9.2 PIs are encouraged to seek support of the Office of the Director of Finance and the ODVCR in preparations of their budgets.
- 9.3 All costing in externally funded projects shall observe four costing principles
- a) A cost is **allowable** i.e. *it serves a university purpose, permissible by University policy and regulations, and permissible by terms and conditions of the research project;*
 - b) A cost is **allocable** i.e. *it provides a benefit to the project;*
 - c) A cost is **reasonable** i.e. *the cost is necessary for the performance of the activity and the incurrence is consistent with University policies and practices;*
 - d) A cost is **consistent** i.e. *when like expenses are treated in the same manner in like circumstances.*
- 9.4 For commercial activities (i.e. any interaction with a commercial organisation), price setting should take account of market conditions, the academic value of the work, and whether Intellectual Property is retained or not.
- 9.5 Where not indicated by external funder, research costing for projects shall adhere to the standard research budget format as stipulated in the UDSM Research Policy and Operational Procedures (Annex V).
- 9.6 Where not indicated by the external funder, administrative costing for research projects i.e. per diems, local transport, communication etc. shall adhere to the provisions made by Government circulars in the costing and pricing of administrative activities in public institutions.
- 9.7 For detailed budgeting purposes, pricing of items, activities and services shall use market prices and adhere to the costing principles highlighted in Section 9.3.
- 9.8 Cost transfers shall not be accepted in externally funded projects unless approved by both the ODVCR and the external funder; and the request conforms to costing principles and the University policies, submitted timely and documented fully.
- 9.9 Any time a transfer is initiated, it invites the assumption that the transaction was not handled properly initially. If expenses are being transferred to another externally funded project, there shall be considerable scrutiny by the ODVCR and the reasons for the transfer, and the justification for moving those costs shall be approved by the external funder.

10. Management of External Research Funds

- 10.1 All financial procedures and administration of external research funds shall adhere to the UDSM financial regulations.
- 10.2 The following are roles and responsibilities of the Principal Investigator in the management of the research funds:
- a. The Principal Investigator is responsible for ensuring expenditure against the research project budget is incurred in accordance with the conditions of the funding agreement and any related contracts.
 - b. The PI shall manage the project in an ethical manner and ensure the project is implemented with due diligence. Any mismanagement or fraudulent acts revealed shall be dealt with according to University regulations.
 - c. The Principal Investigator is responsible for ensuring that the project deliverables or milestones as specified in the agreement are provided by the due dates.
- 10.3 The following are the roles and responsibilities of the Principal/Dean/Director as Head of Unit in the management of research funds:
- a. The Head of Unit shall be responsible for authorization of expenditure against the research project budget in accordance with the conditions of the funding agreement and any related contracts.
 - b. The Head of Unit shall ensure that the research funds are properly used for the purpose for which they are intended and budgeted for and accounted for in accordance with the implementation plan of the research project.
 - c. The Head of Unit shall be responsible for monitoring implementation progress and performance of the project and the achievement of its intended outputs
 - d. The Head of Unit shall be responsible for the maintenance of records of all equipment and facilities purchased/donated by external funded projects.
- 10.4 The following are the roles and responsibilities of the project accountant in the management of research funds:
- a. The project accountant shall be responsible for ensuring that the research project is in compliance with the UDSM financial regulations and guidelines for financial management of research projects funded by external sources.
 - b. The project accountant shall be responsible for maintenance of all financial records relating to the research project.
 - c. The project accountant shall be responsible for maintaining consistency in estimating, accumulating and reporting accounting costs.

- d. The project accountant shall be responsible for facilitating the audit of the research projects.
 - e. The project accountant shall be responsible for reviewing accounting statements to ensure that the project makes appropriate expenditures.
- 10.5 Research costs shall not exceed the amount stipulated in the agreement, unless a variation is approved by both parties.
- 10.6 Research funds shall not be used for any purpose other than that approved under the agreement conditions, unless the changes in the agreement are approved by both parties.
- 10.7 Where a research grant is priced above full cost, the surplus will accrue to the research fund concerned.
- 10.8 Where a research grant has a surplus at the conclusion of the project, disposal of the surplus shall be guided by the MoU/research agreement, where the said agreement is silent the Unit must surrender the surplus to the University.
- 10.9 Should the Unit require to use the surplus for further research related activities, the Unit must seek approval from both the University and external funder.
- 10.10 Any unspent funds at the end of the project (that is, the end date specified in the agreement) must be dealt with in the manner set out in the agreement. Where unspent funds are not addressed in the agreement, reference should be made to the provisions stipulated in the UDSM Research Policy and Operational Guidelines.
- 10.11 Where financial management arrangements are not fully covered by UDSM Financial Regulations, its related Policies on Financial Management and MoU/research agreements, provisions as stipulated in National Acts, Regulations and Guidelines shall apply. Prior to the use of unspent funds, consultation with the external funder must be made and thus proof of consultation with the external funder must be provided.

11. Research Project Reporting

- 11.1 Principal Investigator shall be responsible for submitting periodical project implementation report including project progress status, execution rates, income and expenditure, and project outcomes.
- 11.2 Official research project reporting shall be based on a formal submission schedule. Although reporting at times are split at UDSM, ultimately the PI has the responsibility for timely submission.

Type of Report	Submitted by	Typical Submission Period		Closure report
		External Agency	SRKEC/PFIC	
Technical (Progress)	PI	Annually	Quarterly	Yes
Fiscal (Financial)	PI/Accountant	Quarterly	Quarterly	Yes
Property (Equipment)	PI/Head of Unit	Annually	Quarterly	Yes
Intellectual Property (Patent/Innovation)	PI/IPMO	Annually	Annually	Yes

11.3 Where a Financial Reporting Format is not prescribed in the agreement, the UDSM financial reporting format as stipulated in UDSM Research Policy and Operational Procedures shall be adhered to.

11.4 For purposes of annual auditing of research projects, PIs in collaboration with the project accountants shall prepare final accounts for submission to the Office of the Deputy Vice Chancellor, Administration at the end of every financial year.

12. Foreign Exchange Risks

12.1 Due to volatility in exchange rates, research income awarded in foreign currency may be potentially subjected to material changes once converted to Tanzanian Shillings. The unpredictable markets can also influence expenditure and payments pertinent to an external research project agreement.

12.2 Foreign currency transaction shall be translated into functional currency using the exchange rate prevailing at the date of transaction.

12.3 Translation losses and exchange difference shall be reported according to MoU/research agreement, and measures to redress the loss shall be agreed upon by both parties.

12.4 Translation gains and exchange difference shall be recognized through the statement of income and expenditure.

13. Indirect Cost Recovery/Institutional Overheads

13.1 Every cost must be covered including and not limited to indirect costs that will arise during the implementation of all externally funded research projects unless grounds for exemption have been submitted and approved by the Vice Chancellor.

13.2 The following activities that constitute services and benefits provided to research projects are liable for recovery of indirect costs.

Indirect Cost (IC)	Services and benefits/advantages i.e. <i>actual and contingent</i> , provided to the research projects through the University offices: i. <i>Directorate of Finance</i>: includes financial administration, management, reports, accounting tools, controls and governance via the UDSM finance system, including UDSM wide internal and external audit services; ii. <i>DHRA</i>: includes payroll, personnel records and services to personnel; iii. <i>IT services</i>: includes IT connectivity, telecommunications and support by the university; iv. <i>Library</i>: includes use of library materials and services; v. <i>Facilities</i> (property and services departments): includes accommodation – space, electricity, water, security, maintenance services;
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	vi. <i>VC's Offices, DVCs Offices, CC/STC, Principals/Deans/Directors/Heads offices:</i> includes authorization, oversight, governance;
	vii. <i>DPDI and Quality Assurance:</i> includes, planning & quality assurance;
	viii. <i>Directorate of Research and Publications, Intellectual Property:</i> includes assistance with proposals, negotiations, contracts, intellectual property, technology transfer, database maintenance etc.
	ix. <i>Directorate of Internationalization, Convocation and Alumni (DICA):</i> includes servicing of international postgraduate students;

- 13.3 Research grants and research agreements must include a provision for indirect cost recovery as directed by the Research Policy and Operational Procedures.
- 13.4 The University shall seek to price research agreement grants to recover, as a minimum, all direct costs and indirect costs from project funds.
- 13.5 The indirect cost component of 12% is distributed as follows: 50% (6%) to the host Department, 30% (4%) to the host College, School or Institute to meet local costs, with the other 20% (2%) distributed to support ODVCR costs.

Total Funding	Indirect Cost Recovery Fee	Allocation retained at ODVR	Allocation to the Department	Allocation to College/School/Institute
All research projects	12%	20%	50%	30%

- 13.6 The amount of Institutional fees retained within the Department and College/School/Institute that can be spent on remuneration shall not exceed 40% of the total amount.
- 13.7 The remaining 60% of the institutional fees shall be used in improving research infrastructure (acquisition and maintenance of research facilities, equipment and supplies) and environment (supporting research groups in proposal writing, publications, dissemination and outreach, capacity building etc.).
- 13.8 On a case by case basis, the University may approve a reduction or complete waiver of the indirect cost recovery (ICR).
- 13.9 All research projects must pay institutional/indirect costs. However, applicants seeking full or partial exemption from the ICR must submit the Indirect Cost Reduction Waiver Form through the Head of College, School or Research Institute Director through the office of ODVC research (for recommendation) to the Vice-Chancellor. The conditions for request for waiver of ICR shall include:
- Evidence that the funding body does not support recovery of institutional/administrative cost i.e. MoU/research agreement and funding body policy;

- b) Agreed project budget;
 - c) Evidence of capacity building and physical plant support to the University.
- 13.10 The following categories of external research funding including but not limited to, are exempted from indirect cost recovery:
- a) Internal research support schemes.
 - b) Travel and Equipment Grants.
 - c) Bona fide donations to the University.
 - d) Fellowships and Scholarship stipends for training of Postgraduate students.
 - e) Schemes that specifically prohibit or cap the recovery of indirect costs in their Terms and Conditions.

14. Residual Research Project Balances

- 14.1 The PI shall report in writing to the Unit of the project implementation and financial status on research project balances.
- 14.2 The Unit shall submit to the University a list of all residual research project balances that shall include equipment, motor vehicles, physical plant, unspent project funds and list of liabilities.
- 14.3 The Director of Finance shall be informed of the project closure and shall take relevant measures including official closing of the project bank account.
- 14.4 Where there are residual financial resources, the Director of Finance shall transfer the funds to the University account according to Section 9.12.
- 14.5 After submission of the residual research project balances, upon approval by the funding authority, the Unit can request for allocation of the balances for future use within the Unit.

15. Auditing

- 15.1 All research projects and/or associated agreements shall be audited.
- 15.2 All external research project budgets must include an audit cost.
- 15.3 Regardless whether external funding bodies choose to appoint independent auditing firms, the Controller and Auditor General (CAG) shall proceed to audit all externally funded research projects.
- 15.4 The Controller and Auditor General is the statutory Auditor of the University by virtue of Article 143 of the constitution of the United Republic of Tanzania as amplified in section 32(4) of the Public Audit Act (No 11) of 2008.
- 15.5 The audit of externally funded research projects shall be done annually.
- 15.6 The Chief Internal Auditor (CIA) shall on a quarterly basis choose to audit selected research projects.

16. Service Agreements and Administration

- 16.1 The profile of a project management team shall include adequate management and other relevant positions.
- 16.2 For each of the positions indicated in Section 16.1, there shall be an appointment letter issued to the staff according to the University staff regulations.
- 16.3 The Principal Investigator of an externally funded project shall be an employee of the University.
- 16.4 In cases where the Principal Investigator of an externally funded project is from another Institution, an employee of the University shall be the Co-Principal Investigator.
- 16.5 In cases where a unit enters a multiple institution research project agreement and an employee of the University represents the Unit in a capacity other than of a PI/Co-PI, provisions on RA shall apply as stipulated in the Guidelines for Postdoctoral Scholars and Research Associates Programme.
- 16.6 Preference for appointment of project staff shall be given to employees of the University, only where there is no expertise available at the University shall the Unit recommend the appointment of contractual staff.
- 16.7 Units that submit proposals for competitive funding from external sources are encouraged to include a component of capacity building i.e. staff and student training.
- 16.8 Preference for awarding training positions in an externally funded project shall be given to University staff and students, where applicants are not available in the Unit, staff and students from other university units shall be considered.
- 16.9 Selection criteria for awarding training positions within an externally funded research project shall include the following:
 - a) Academic qualifications for the position,
 - b) Area of expertise and experience,
 - c) Academic performance in area of expertise,
 - d) Equal opportunity recruitment i.e. affirmative action,
 - e) Proven track record of service.
- 16.10 Award of training positions and scholarships for capacity building shall be coordinated through the Units to the Office of the Deputy Vice Chancellor, Academic and must be aligned with the UDSM Staff Development Policy.
- 16.11 An award given to staff and students in training positions shall ensure that funds are available until the prescribed completion date.
- 16.12 The Office of the Deputy Vice Chancellor, Academic shall issue the letter of award for the scholarships and training positions.
- 16.13 The Office of the Deputy Vice Chancellor, Research shall issue the letter of award for postdoctoral fellowships and Research Associates.

- 16.14 The Principal Investigator shall be responsible for overseeing project staff performance and administration of daily project activities.
- 16.15 The administrative staff shall assist the PI in the logistics and administration of daily project activities.
- 16.16 The project accountant shall be responsible for administration of project accounts and financial reporting.
- 16.17 The activities of the research associates and postdoctoral fellows shall be guided by the Guidelines for Postdoctoral Scholars and Research Associates Programme of the University of Dar es salaam.
- 16.18 Approval in writing shall be sought for any changes in the team of investigators to the Unit and the Unit shall recommend the changes to the ODVCR.

17. Project Staff Remuneration

- 17.1 All project staff shall be entitled to a remuneration package based on the time input and expertise in the research project.
- 17.2 Proposals shall accurately represent the amount of time that key project staff are committing to the project.
- 17.3 Over-commitment by the PI and other key project shall not be allowed. Commitment of effort must take into account the time required for teaching and service. Estimation of the time allocation of University academic staff is represented as follows:

Staff	Teaching	Research	Public Service	Other service <i>i.e. coordination, administration, committees</i>
Academic staff	30%	30%	30%	10%

- 17.4 The PI shall arrange for honoraria payments for special activities assigned to staff that are outside their scope of employment.
- 17.5 Honoraria payments shall be paid based on the scale and quality of the special task assigned to the staff.
- 17.6 The PI shall declare to the Unit the amount of honoraria and the schedule of payments for the honoraria for purposes of approval in the future when payments are being made.

18. Equipment Purchase and Property Management

- 18.1 Equipment shall be considered an article of nonexpendable tangible property, must have a useful life of more than one year and must be moveable.

- 18.2 Where the external funder has not made provisions for procurement of equipment in the MoU/research agreement, all purchases of equipment are subject to provisions of the Public Procurement Act, 2011 or as amended from time to time.
- 18.3 Prior to purchasing any equipment for an externally funded project, the PI shall conform to the following provisions;
- a) The equipment is **necessary** for the performance of the project.
 - b) The equipment is **allowable** (according to funding agency's terms and conditions).
 - c) The equipment purchase is **reasonable**.
 - d) The equipment purchase is **allocable** to the project.
 - e) The **timing** of the purchase is consistent within the period of performance (i.e. not purchased at the end of the project).
- 18.4 The Unit shall ensure that all purchased equipment from the externally funded project are recorded in the University Asset register.
- 18.5 The unit shall be responsible for equipment purchased in the externally funded projects regardless where the equipment is located and shall ensure that the equipment is managed appropriately.
- 18.6 The PMU shall be responsible for the disposition of the equipment when the equipment is no longer needed by the research project and the University.
- 18.7 In situations where the funding agency provides funds for the purchase of property and may choose to retain ownership of the asset, the award terms and conditions must be reviewed by the University for Specific Requirements related to acquisition, use, maintenance and disposition of the property.
- 18.8 The University shall be responsible for control of externally funded property and delegate direct control, maintenance and accountability of property use to the PI.
- 18.9 The Estates Department shall ensure compliance with contractual requirements of the property and oversight.

19. Compliance and Breaches

- 19.1 All Units of the University shall be tasked to ensure that Principal Investigator complies with the UDSM rules and regulations governing research activities at the University.
- 19.2 All research project staff shall be required to adhere by the University regulations and policies guiding research activities.
- 19.3 The University shall commence disciplinary procedures if a person/unit to whom these guidelines apply, breaches these guidelines or any of its related procedures.
- 19.4 If proven that there has been mismanagement of funds for externally funded projects, the University shall commence disciplinary procedures against a person/unit involved.

20. Conflict of Interest and Dispute Resolution

- 20.1 All PIs shall declare any conflicts of interests that might emanate from the implementation of research project activities to the University before the commencement of the projects.
- 20.2 All PIs shall declare conflicts of commitment that might affect implementation of external funded research project to the University through the office of ODVCR.
- 20.3 Any dispute arising from a conflict of interest and/or conflict of commitment the University shall take administrative and/or disciplinary action in accordance with the University rules and regulations.
- 20.4 Where any other dispute arises from causes other than conflict of interest or conflict of commitment, the University rules and regulations shall be applied to resolve such disputes.

21. Supporting Procedures and Related Documents

- 21.1 The following are related University of Dar es Salaam policies and guidelines that should be read in conjunction with these guidelines and operating procedures for management of research projects and activities funded from external sources;
 - a) UDSM Research Policy and Operational Procedures.
 - b) UDSM Consultancy Policy and Operational Procedures.
 - c) UDSM Entrepreneurship and Innovation Policy.
 - d) UDSM Financial Regulations.
 - e) UDSM Staff Regulations.
 - f) UDSM Intellectual Property Policy.
 - g) UDSM Research Agenda.
 - h) UDSM Research Ethics Policy.
 - i) Guidelines for Post-Doctoral Scholars and Research Associates Programme.
- 21.2 In case where these guidelines have not sufficiently addressed an issue, reference shall be made to the listed policies and guidelines in Section 21.1 for guidance.
- 21.3 The National laws, policies and regulations that shall be referred to in cases where University policies and guidelines are insufficient.

22 Extension of Project Period

- 22.1 The PI shall inform the Unit in writing on any prospects of research project extension at least 3 months prior project closure. The PI shall be required to submit evidence of project extension from funding body.
- 22.2 The Unit shall seek approval from the University for project extension citing the areas of focus, level of funding and duration of the extension.
- 22.3 Upon satisfactory review by the ODVCR and in consultation with the external funder, the University shall approve the project extension as requested.

23 Project Closure

- 23.1 The PI shall be responsible to inform in writing the University at least 6 months before the anticipated date of project closure.
- 23.2 During project closure, the PI shall submit project closure reports containing information on the implementation of the project activities, patents/intellectual property, innovations and expenditure to Unit.
- 23.3 Final reports are to be submitted to the ODVCR for review, recording and project closure.
- 23.4 The ODVCR shall award a project closure certificate to signify the official closing of the project.
- 23.5 The same reports are to be submitted to the funding agency by the PI.

24 Amendment and Revision of the Guidelines

- 24.1 ODVCR shall from time-to-time monitor and evaluate the effectiveness of these guidelines.
- 24.2 These guidelines shall be reviewed every three years from its approval.
- 24.3 Where implementation challenges have been identified, the University shall revise the clauses accordingly and make necessary amendments.