UNIVERSITY OF DAR ES SALAAM

OFFICE OF THE DEPUTY VICE CHANCELLOR - RESEARCH

GUIDLINES FOR RESEARCH CENTERS AND RESEARCH CENTERS OF EXCELLENCE-2014

NKRUMAH HALL

Hekima ni Uhuru

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UNIVERSITY OF DAR ES SALAAM
OFFICE OF THE DEPUTY VICE CHANCELLOR
RESEARCH AND KNOWLEDGE EXCHANGE

GUIDELINES FOR RESEARCH CENTRES AND RESEARCH CENTRE OF EXCELLENCE AT THE UNIVERSITY OF DAR ES SALAAM

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Abbreviations and Acronyms

COSTECH	Tanzania Commission for Science and Technology
DVC-RKE	Deputy Vice Chancellor - Research and Knowledge Exchange
FYRSP	Five Year Rolling Strategic Plan
HDR	Higher Degree by Research
HEDP	Higher Education Development Programme
HoD	Head of Department
IP	Intellectual Property
MKUKUTA	Mkakati wa Kukuza Uchumi na Kupunguza Umasikini Tanzania
NSGRP	National Strategy for Growth and Reduction of Poverty
QAB	Quality Assurance Bureau
R&D	Research and Development
RC	Research Centre
RCE	Research Centre of Excellence
SRKEC	Senate Research and Knowledge Exchange Committee
ToR	Terms of Reference
UDSM	University of Dar es Salaam
URT	United Republic of Tanzania
VC	Vice Chancellor

Preamble

Research is one of the core functions of the University of Dar es Salaam (UDSM). The UDSM has the responsibility to find solutions and contribute to the socio-economic development of the country by producing quantity and quality products through its core functions of teaching, research, development, innovation and community service.

The UDSM recognises that its image, reputation, and competitiveness, depends on the range and quality of its research performance. The University therefore expects all members of its academic staff to be research-active as expected by the norms and standards of the discipline. Over and above the University encourages the development and, where appropriate, supports the formal recognition of research entities including small research communities, research groups, research centres and ultimately research centres of excellence for them to become a focal point of the University's research efforts and promotion.

Over the last 52 years, the UDSM has strived to continue taking a lead in research performance in the country, developed and consolidated its distinct research strengths and enhanced its visibility and profile. Within this period, a number of research successes and achievements were obtained including the development and operationalisation of UDSM Research Policy and Operational Procedures (1st and 2nd Editions), the development of Research Agendas for units, establishment of research systems, structure and infrastructures, development of research guiding instruments/tools (Research Ethics Policy and Operational Procedures, Intellectual Property Policy), as well as strengthening research administration and management through workshops, seminars and other forms of training. Strengthening of research has recently included the restructuring of the Directorate of Research and Directorate of Public Service by creating a new office of the Deputy Vice Chancellor, Research and Knowledge Exchange (DVC-RKE) which took over from the former but with expanded mandate and redefined research

and knowledge exchange strategy. These efforts are expected to create a better and more conducive environment for the academics to conduct research and disseminate results while keeping with global trends and standards.

Following the 50 Years Anniversary Celebrations of the UDSM, a process was initiated to develop strategic, long-term efforts towards another 50 years achievement of the university. The UDSM Vision 2061, as it is termed, gives prominence to research and recognises it as one of the key pillars for achieving excellence in research areas with regard to visibility, productivity, relevance and response to national needs through high value and impactful contributions. The redefined research strategy strongly encourages the formation of aforementioned research teams, which would eventually evolve to form the nuclei of Research Centres of Excellence (RCE) in order to conduct needs-driven research in line with national priorities as outlined in the Tanzania development Vision 2025, MKUKUTA II (2010) and other national strategies. Therefore, establishment of the RCEs is considered to be one of the best approaches for fast-tracking the aspiration of research excellenceand the UDSM Vision 2061.

University Research Centres of Excellence (RCE) consists of substantial groups of University academics (scholars), whose integrated research address problems sets of major theoretical, empirical or applied significance, and which have achieved international recognition. RCE may be organised as sets of closely linked clusters or research streams, often involving collaboration across disciplines and departments/schools/colleges and even institutions (inter/multidisciplinary). The Centres play an important role in broadening the knowledge base which leads to new discoveries and which inform new policies that ensure discoveries from research are translated into usable products and or solution to the society in a productive and beneficial manner. In addition, they play an important role in educating and training the future generation of researchers and innovators. The organization structure of the Centres may take various forms; they may differ considerably in scope and organization and are therefore not readily susceptible to concise definition but are instead best understood in terms of their characteristics of success.

While the redefined research policy of UDSMcalls for the establishment of RCEs, the UDSM lacks Guidelines for their establishment, operation, monitoring, evaluation, review and disestablishment. Meanwhile, there are a number requests from UDSM units to be allowed to establish new RCEsor reconstitute the existing research units into RCEs. It is against this background that the RCE Guidelines have been developed to address the existing gap.

The Guidelines aim atspearheading establishment of time-limited research centres at the UDSM that shall conduct targeted, focused, high quality, high impact, long-term research of high international calibre and where researcher training is an integral component. Scientific merit is the main criterion used in the selection of the centres. Therefore, the Guidelines sets a framework within which the RCEs shall be established (created), developed, managed, effectively monitored and evaluated and disestablished for the benefit of the group members, the UDSM and the general public.

As the UDSM move to the vision for the next 50 years with a new dimension of redefined UDSM research strategy, we wish to appeal for a continued cooperation and support from all UDSM scholars and collaborating research partners, so that the projected research ideals can be achieved. We sincerely, believe that the chosen strategy is the right one for our institution and the country.

Finally, I wish to thank all our researchers (staff and students), funders, collaborators and partners for continually and faithfully contributing to the various researchprogrammes at our University. I also wish to recognise all academics that have won various accolades for their distinguished research efforts over the years and encourage the rest including upcoming generation of young academicsto continue participating in research under the mentorship of more experienced researchers in our bid of championing UDSM as the one of the best research institutions in the world.

Prof. Rwekaza SymphoMukandala
Vice Chancellor, University of Dar es Salaam
May, 2014

1. Background

The University of Dar es Salaam was established in 1961 as a College of the University of London and later in 1963 as a constituent college of the University of East Africa. It became an independent University, the University of Dar es Salaam (UDSM) in 1970.

The University of Dar es Salaam is guided by the Vision 2061, "a leading centre of intellectual wealth spearheading Tanzania's and Africa's quest for sustainable and equitable development". One of the pillars of Vision 2061 is to achieve excellence in research in terms of visibility, productivity, relevance and response to the national needs through high value and impactful contribution to research-based policy, innovations and decision making. The UDSM Corporate Strategic Plan (CSP), 2014–2023 currently in draft form echoes the aspirations in the UDSM Vision 2061 by aiming at transforming the UDSM into a world-class university by 2061. The Draft UDSM CSP (2014-2023) articulates a number of goals through which the UDSM will hopefully be transformed into a leading research institution with high impact research outcomes. Goal No. 5 in the aforementioned draft CSP aims at enhancing capacity for research and productivity. At the same time, the Mission of the UDSM is, "to transmit knowledge from one generation to another, conduct scientific research to advance the frontiers of knowledge, provide teaching and public services in order to continuously meet the high-level human resource needs of the general public and beyond"(UDSM FYRSP 2008/2009)-2012/2013). In this context, the broad objectsof the University are, "advancement, diffusion and extension of the arts, science, technology and learning, the provision of higher education and research and the nurturing of the intellectual, aesthetic, social and moral growth of the students at the University (UDSM FYRSP 2008/2009-2012/2013; UDSM Charter, 2007). Specifically the following nine UDSM functions listed in the UDSM FYRSP (2008/2009-2012/2013) and 21 listed in the UDSM Charter (2007) have been considered to have a direct bearing to the current work:

i) To assume a leading role in the responsibility for university education within the United Republic of Tanzania and to make provision for centres and places of learning, education (including continuing education) professional or vocational training and research;

ii) To ensure as a matter of principle, integration of research, teaching and consultancy, and public services at the immediate subject area level with a view to building distinctive scientific professional and services of the university and of its staff as symbols of creative scientific professionalism;

iii) To ensure and promote gender balance, equality and equity in its policies, programmes and regulations relating to teaching, research and consultancy and public services;

iv) To provide, promote and maintain centres of excellence (including research centres of excellence [RCEs][1]) and exemplary good management in terms of knowledge creation, skills development, effective entrepreneurship and formation of responsible attitude for the betterment of the society as well as its mode of governance;

v) To advance the frontiers of, enhance preserve and transmit knowledge;

vi) To promote research into economic, political, social, cultural, scientific, technological, legal and other matters generally with particular reference to the interests of Tanzania and humankind in general;

vii) To establish mutually negotiated, beneficial and durable links with institutions of learning and research within Tanzania and other countries.

viii) To become a national and international centre of excellence in terms of *quality and relevant knowledge creation, skills development,* advisory and public services, effective entrepreneurship and formation of responsible attitude for the betterment of the society and an example of good management;

ix) To endeavour to excel in knowledge and human resource capacity building without *sacrificing quality against quantity* or falling prey to elitism;

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[1] Added by the authors

On the other hand, the University of UDSM is guided by the following four basic objectives UDSM FYRSP(2008/2009-2012/2013):

i) To contribute to the advancement, transmission and preservation of all forms of knowledge and scholarship in line with internationally accepted standards of academic excellence;

ii) To contribute effectively to the improvement of access to, and relevance of, higher-level education and learning in the country through well designed, coordinated and controlled teaching and learning programmes;

iii) To create a sense of entrepreneurship and public responsibility in the educated and to promote respect for learning and pursuit of truth;

(iv) To providea conducive environment for the delivery of training, conduct of research and provision of services to the public.

The current task endeavours to squarely address the listed functions together with the fourth basic objective with a view to addressing national needs (URT, 1996; HEDP, 2010). The UDSM therefore formulated and developed its Research Policy and Operational Procedures 1st Edition in 1998 and 2nd Edition in 2006 (which is currently under revision and updating in order to capture many imperatives and developments that have taken place university-wide and nation-wide since the 2nd Edition was approved 7 years ago).

The main strategic thrusts of the First Edition were directed to address among others:

- Establishment of a research directorate at the university-level to coordinate the implementation of research at the UDSM;
- Establishment of functional research infrastructure and research units at departmental/institute/faculty/college level;
- Establishment of functional systems, structures and organs for handling of research matters;
- Development of research agendas, instruments and tools to guide and manage research activities at the university

The Second Edition of the Research Policy was strategically more focussed on:

- Strengthening of the Directorate of Research with regard to its capacity to coordinate implementation of the Policy itself;
- Strengthening research administration and management activities university-wide
- Ensuring comprehensive implementation strategy for enhanced university research quantity and qualityoutputs.

Accordingly article 5.3.1(xi) of the Research Policy and Operational Procedures, 2006 states, "where potential exists for multidisciplinary (interdisciplinary research) projects, initiate formation of such teams (groups) which once formed, shall be left to operate under approved modalities …" While the UDSM FYRSP and the Research Policy and Operational Procedures provide for the formation of research teams, the Council Memorandum No. 173.5 Appendix II (2007) and University Charter (2007), Section 37(2) provides for the establishment of University units, which includes Centres.

In view of the above institutional history and current status at UDSM, it may therefore be said that already key regulatory and strategic institutional instruments at the UDSM envisages establishment of the RCEs. In addition, there are already in place research units which may qualify for promotion to the level of RCEs. Lastly, establishment of RCEs at UDSM is in line with the National Research and Development Policy, 2010 which underArticle 3.3 calls for the establishment of centres of excellence. Therefore, adoption of these Guidelines is appropriate and perfectly coincides with other institutional and national initiatives.

1.1. Research and Research Centres

The University of Dar es Salaam regards research as its life-line, an integral part of its life. The UDSM therefore supports research and expects it to help underpin its core teaching and learning activities.

1.1.1. The Purpose of Research Centres and Research Groups

The purpose of research centres and research groups shall be to encourage clusters and communities of academics to generate a stimulating research environment at UDSM that:

- Inspires those on training;
- Encourages further development of young research scholars; and
- Satisfies more experienced researchers

Research centres or research groups may correspond to single subjects, interdisciplinary or multidisciplinary and may relate to research of one unit (department/institute/school/college) or more than one unit due to the porosity of their walls. A research community may be upgraded to a research group, which may be upgraded to a research centre with a possibility for upgrade and graduation into a research centre of excellence.

1.1.2. Research Community and Research Group

A research *community* shall be a cluster of academic staff (with a research leader) who identify a wish to form a small research entity and work together on the grounds that they undertake research which is relevant to the UDSM core activities or other as the case may be.

A research groupshall be a formally recognised group of established researchers with an agreed leader, who share common and complementary research interest and who have similar needs with respect to research infrastructure.These are people who work on research projects that fall under an identifiable research theme or set of themes who occasionally collaborate on common research projects, and who co-supervise research students. Research groups shall be hosted by departments/institutes/schools/colleges and shall fulfil a range of functions aimed at strengthening, extending and promoting their joint research and research training activities and linkages institutionally, nationally, regionally and/or internationally, raising funds for common projects and initiating new intellectual ventures. The life span of a *research group* will depend on the ability of its members to sustain their collaboration and other related research productivity.

1.1.3. Criteria for Recognition of Research Groups and Centres

a) Research Groups

A research group, which shall be regarded as a sound research community, shall comprise of principal researchers/investigators (PI), researchers and

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associate researchers. A principal researcher shall be any member of staff (fulltime/part-time) with established excellent record of research achievement. Researchers shall be members of staff (fulltime/part-time) including post-doctorals and young researchers with satisfactory publication record. Associate researchers shall include postgraduate students, research assistants and young researchers without any publications.

Any research group shall satisfy the following criteria for it to be recognised:
i) Its activities shall align with those of the UDSM,
ii) Be composed of a critical number of researchers, which should not be less than five, out of whom at least four shall be principal researchers or researchers,
iii) Have in place a realistic, well-articulated and satisfactory research/ development plan spanning preferably 3 years. The plan shall outline among other things broad research fields, planned activities including collaboration, aimed targets, plans for the expansion of postgraduate programmes, securing external support and support of the young researchers.

b) Research Centres

To gain recognition as a UDSM research centre, the aspiring entity shall need to demonstrate critical mass, a substantial record of quality record of research productivity as well as a record of successful bids for external funding. The application must therefore satisfy the following 3 criteria:
i) Its activities shall align with those of the UDSM
ii) It shall have a critical mass of experienced and productive researchers (at least 10, out of whom at least 4 shall be principal researchers and 2 researchers);
iii) Have in place a realistic, well-articulated and realistic research/ development plan spanning preferably 5 years. The plan shall include among other things broad research fields, planned activities including collaboration, aimed targets, plans for the expansion of postgraduate programmes, securing significant external support and support of the young.

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iv) Significant amount of external support, sustainable for at least the time period under (iii) above.

1.1.4. Responsibilities of Research Groups and Research Centres

a) Research Groups

Research groups shall among others undertake the following responsibilities:
i) Disseminate outcomes of research;
ii) Supervise and provide training support for research students;
iii) Provide mentoring and other support for young and relatively inexperienced staff;
iv) Organise regular research seminar series;
v) Attract externally supported research students;
vi) Develop and sustain external research links and collaboration;
vii) Locate and pursue external funding; and
viii) Sensitize and encourage other staff to be research-active.

b) Research Centres

Among other things research centres shall undertake the following responsibilities:
i) Disseminate research outcomes
ii) Supervise and provide training support for research students;
iii) Provide mentoring and other support for young and relatively inexperienced staff;
iv) Organise regular research seminar series and where possible symposia;
v) Attract externally supported research students;
vi) Attract visiting post-doctorals, visiting researchers as well as visiting professors;
vii) Develop and sustain external research links and collaboration;
viii) Locate and pursue external funding; and
ix) Sensitize and encourage other staff to be research-active;
x) Actively participate in building and sustaining institutional profile.

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1.1.5. Approval and Appointment Process for Research Groups and Centres

a) Research Groups

To be elevated to a research group status, a research community shall follow the following process:

i)   Consult the head of department/director of institute and subsequently submit a proposal on the same;

ii) Successful proposals shall be transmitted to the Dean of School/Principal of College with appropriate recommendations;

iii) Successful proposals will be approved by the College Academic Committee/School Board and outcome transmitted to the SRKEC and the Senate for noting;

iv) The Council will be informed of the decision by the UDSM lower organs.

b) Research Centres

Before promotion to the research centre status, a research group shall follow the following process:

i)   Consult the head of department/director of institute and subsequently submit a proposal on the same;

ii) Successful proposals shall be transmitted to the Dean of School/Principal of College Director of Institute with appropriate recommendations;

iii) Successful proposals will be approved by the College Academic Committee/School or Institute Board and outcome transmitted to the SRKEC and the Senate for noting;

iv) The Council will be informed of the decision by the UDSM lower organs.

1.1.6. Required Information and Structure of Applications

All applications for promotion to a research group and, or research centres status shall provide required information sequentially under the headings indicated herein:

i)   Proposed title for the Research Group or Research Centre;

ii) Scope of the fields involved;

iii) Proposed head/leader of the Research Group/Research Centre. While it is proposed that the head of a Research Group to be called a Coordinator, that of a Research Centre shall also be titled a Coordinator;

iv) List of principal researchers, researchers and associate researchers, indicating affiliating institution/unit of each, whether internal or external;

v)   Give reasons (with supporting evidence) why researchers wish to work together;

vi) Research track record over the past three years (publications, exhibitions, external funding secured and esteem (indicated by invitations to key positions/roles, etc.));

vii) Research/development plan spanning 3 years indicating aims, planned activities, collaboration, research productivity targets, postgraduate engagement and external income strategies and targets. Financial strategies (see Appendix 1, part 5 Budget) should explicitly indicate portion of the income in form of administrative overheads (minimum of 12% of the project costs to be paid to the UDSM).

All UDSM Research Groups/Research Centres shall be constantly monitored and evaluated annually according to the stated criteria. The College Principal /School Dean /Institute Director will decide on the most appropriate time for either of the two.

Evidently section 1.1.5 and 1.1.6 above suggest that the appointment of heads (Coordinators) of Research Groups / Research Centres shall be made by the Principals of Colleges/ Deans of Schools /Directors of Institutes and approved by the College Academic Committees/School /Institute Boards.

According to the UDSM vision and mission statements, research centres are expected to be avenues towards more glorious research centres of excellence in the long term.

1.2. The Concept ofCentresand Research Centre of Excellence

1.2.1. Centres of Excellence

A centre of excellence in a university/higher institution of learning is a dedicated structural entity where scholarly work is performed at a very high, often world-class level. This is in line with the aspiration of the UDSM

to become a world-class, international university, with its performance distinctively standing out from those of its competitors by 2061.

1.2.2. Research Centre of Excellence (RCE)

For the purposes of these Guidelines and in line with Section 1.2.1, a UDSM Research Centre of Excellence (RCE) shall be a fully functional entity/ structure affiliated with any of the university units (be it a College, School, Institute or Department), which is responsible for undertaking very high calibre and world-class level research and development, innovation and teaching in a particular focused area, interdisciplinary and/or multidisciplinary in nature.

The composition, structure and other administrative matters of the RCE shall be as set forth in the subsequent provisions of these Guidelines. A Research Centre of Excellence is comparatively a larger entity than a research group/centre where it can comprise of a number of research groups. RCEs should also be able to attract, retain and support UDSM and world class researchers to perform high quality and high impact research on areas aligned with long term and strategic needs of UDSM vision 2061 and Tanzania Development Vision, 2025.

1.2.2.1. Recognition/Qualifying Process for an RCE

In order to qualify as a RCE, a research centre shall be able to attract and be constituted by the best and excellent researchers, developers and innovators, with high respect and reputation as significant institutional resource for the progress and furtherance of research and development and innovation at the University to the aspired world-class standard (as alluded under 1.2.2).

1.2.2.2. Purposes for Creating and Operating RCE

The main purposes for encouraging the establishment and operation of Research Centres of Excellence (RCE) at the UDSM include to:
i) Recognize, support, develop and advance staff expertise or areas of research excellence (high value, impactful):
Strengthen bids for external research funding;

- Inform the national and UDSM's research strategy and help to implement it;
- Facilitate sustainability of research across the university;
- Encourage collaborative, multidisciplinary and interdisciplinary research;
- Support individual and group research.

ii) Support and engage UDSM and other relevant students in experiential learning opportunities through research and public service;

iii) Respond to the needs of Tanzania and those of the wider community by application of the intellectual capacity to increase productivity and generate high value research products;

iv) Market UDSM capacities to the public, private and other non-profit sectors and organizations and therefore enhance visibility of the UDSM;

v) Provide opportunities to integrate postgraduate training and professional development education, research and public service;

vi) Support multidisciplinary and interdisciplinary collaboration;

vii) Facilitate the administration of externally supported projects;

viii) Support emerging research;

ix) Provide a coherent picture of research excellence for external research

1.3. Rationale

Following the celebration of its 50th Anniversary in 2011, UDSM has embarked into developing strategic, long-term plans for another 50 years down the road to be guided by the UDSM Vision 2061. One of the pillars and key success factors in the UDSM Vision 2061 is achievement of research excellence in terms of visibility, productivity, relevance and response to national and wider-societal needs through high value and *impactful* contributions to research-based policies plans, decisions and innovations. Therefore, establishment of RCE is in line with the National Science and Technology Policy for Tanzania which under Section III (69), (URT, 1996) states, *"Centres of excellence for postgraduate training and research should be established in order to cater for talented individuals by giving them opportunities to work on areas of national priority. The centres will also act as a fountain for spearheading discovery and advancing frontiers of knowledge ...;* and with UDSM Vision 2061. It is hoped that

theestablishment and institutionalization of RCE will therefore fast-track realisation of the aspirations in research excellence.

Furthermore, establishment and proper regulation of RCEs will facilitate multidisciplinary and interdisciplinary development and transfer of impactful world-class research to wider communities; and respond to the legal mandates of UDSM as provided for under the University of Dar es Salaam Charter, 2007.

1.4. Objectives of the Guidelines

The broad objective of the Guidelines is to spearhead establishment and set a regulatory framework of research centres at the UDSM. The imperative is to create the enabling environment for the conduct of focused and high quality research in a particular area of competence, taking into account the established national and international research standards.

Specifically the Guidelines seek to achieve the following at the UDSM, namely to:

i) Outline clear direction, criteria and procedures for the initiation, establishment,development, management and closure or disestablishment of RCE;

ii) Formulate a set of guidelines for the RCE at the UDSM;

iii) Suggest the most effective organizational structure of RCE consonant with the structure of the UDSM;

iv) Suggest and provide direction on the timing as well as the most effective monitoring, evaluation and review processes and toolsfor the RCE;

1.5. Scope of the Guidelines

1.5.1. These Guidelines shall apply to the establishment, regulation,

and monitoring of RCE at the UDSM.

1.5.2. In addition, the Guidelines shall cover the following types of persons;

a) Academic Staff: shall include all academicians and researchers employed by UDSM and visiting scholars.

b) Students: Both Undergraduate, Postgraduate and visiting students who are linked through programmes offered by the RCE.

c) Postdoctoral Researchers: where individuals are holding such status are involved in activities and/or employed in the RCE.

d) Collaborating Researchers: Including individuals employed in national and international institutions.

1.6. Appointment of a Team

On the 20th February 2013, the DVC-RKE appointed a Team of five staff, vide a letter Ref. No: DVC-RKE 16.10 to develop a UDSM Policy/Guidelines for Research Centres of Excellence (RCEs)

The following were the members of the Team:
1) Prof. G.D. Mrema   Team Leader
2) Dr. Charles Mahera   Member
3) Dr. Rose Upor   Member
4) Dr. Saudin, J. Mwakaje   Member
5) Mrs. Tumaini Kihunrwa   Secretariat

Further, in order to achieve the intended purpose, the Team was guided by six (6) items in the Terms of Reference (ToR) with sub items as shown in Appendix 2.

1.7. Methodology

In developing the guidelines the following methodology was used:

i) Brainstorming meetings meeting during normal working sessions;

ii) A retreat during which a number of documents were studied and screened;

iii) Documentary review of UDSM documents;

iv) Internet search and review of relevant documents;

The team furthermore benefited from inputs received from the following UDSM participatory organs:

i) Departments/Institutes/Schools/Colleges and Directorates;

ii) Committee of Deans and Directors;

iii) SRKE; and

iv) Senate

2. Guidelines for the RCEs

The following guidelines shall guard the operation and functions of the RCE:

2.1. Establishment of RCE

2.1.1. Normal University procedures of establishment of units within UDSM shall be adopted and the proposal shall be reviewed at all recognised levels of the University structure starting at the level where the Centre will belong (Department/Institute) to the Schools/Colleges/Institutes and ultimately university levels;

2.1.2. A primary consideration for the establishment of a RCE shall be the ability and competence of the Centre to undertake high quality world-class research in a particular niche area taking into account existing national and international standards and in harmony with on-going activities in UDSM Research Centre (RC);

2.1.3. For the purposes of assessing and evaluating the ability and competence of the RCE, the Vice Chancellor shall appoint a review team who shall review the proposal and table a report to the Senate for consideration and onward approval. The assessment will be guided by a questionnaire which is appended to these Guidelines;

2.1.4. The College/School/Institute/Department which propose the establishment of a RCE shall, in addition to the above requirement, provide/demonstrate the following:

a) Available "critical mass" of high level (international calibre) of researchers;

b) A well-articulated planned activities and programme proposal which indicates the core research programmes to be undertaken by the Centre as well as the dynamic role of the Centre to the surrounding innovation system (adding value to knowledge and cross-fertilizing teaching at the UDSM and beyond;

c) A financial proposal which shows clearly the sustainability of the centre for a foreseeable future (independent of public funding).

The financial sustainability of the RCE may be in the form of commitments from collaborating partners and/or internally generated revenue (basis for the proposed investment);

d) A well-defined structure of the research management which clearly defines the role of each organ or staff involved (mostly based on the existing and approved UDSM structure;

e) Effective and measurable outcomes that easily quantify the degree of RCE excellence including but not limited to: world-class publications, knowledge and technology transferred, IPR, post-doctoral/research associates attracted, spin-offs, visiting world-class experts, contracts signed, partnerships, networks/links entered etc.

2.1.5. The proposed RCE shall emphasize and take on board junior researchers and will particularly aim and demonstrate value addition to research undertaken at the University by indicating how the programmes at the Centre shall independently and/or in collaboration with other institutions will afford research opportunities to researchers at the University.

2.1.6. In the overall, the minimum criteria for establishment of the RCE shall be the following:

a) **Number of Members:** A minimum of 5 research active academic staff contributing most of their research time to the RCE. The proposal should indicate that the proposed RCE has an adequate number of staff. Academic staff shall include research associates including postdoctoral positions, postdoctoral fellows and other externally funded fellows. The definition of research active should be seen as the minimum requirement for membership.

b) **Time Commitment of the Coordinator:** A minimum 30% but preferably 50% time commitment to the RCE

c) **Other Requirements:**
   i) Must build upon the current UDSM academic unit strengths;
   ii) Must be collaborative and serve as a mechanism for the creation of multidisciplinary/interdisciplinary community of scholars;

iii) Must be hosted in an academic department and be linked to an academic programme (TCU, 2012) in order to provide research, teaching, services and experiential learning opportunities for staff and students (UDSM, 2011);

iv) Must demonstrate the potential of attracting external support;

v) Must provide services useful to the community;

vi) Must have strong external linkages with other research institutions and/or industry within and outside the university;

vii) Must show strong evidence of international standing and peer esteem;

viii) Must be of major strategic importance to the University in terms of institutional and national research priorities;

ix) Must endeavour to support and promote postgraduate training.

2.1.7. All UDSM RCEs must be established and run from within the University Campus premises.

2.2. Advancement of Existing Research Centres to RCEs

2.2.1. The existing Research Centres at UDSM which may seek to become RCEs shall follow procedures as indicated in 2.1 above.

2.3. Administration of the RCE

The administration and management of RCEs shall capitalise on strategic growth and generation support in an effective and synergistic manner *while avoiding any conflicts with the existing units*.

2.3.1. RCE shall be headed by a Coordinator (as the UDSM may decide) from within the University; among the minimum qualifications for a person holding a position of the Coordinator of RCE shall be a rank of a Lecturer.

2.3.2. The Coordinator of the RCE shall be a person who has an established track record of competence and experience in one of the major areas in which the Centre is focusing;

2.3.3. The role of a RCE Coordinator should be determined using a proportionate approach based on the type of centre they lead. Specific duties and responsibilities shall be set in the appointment instrument issued by the Vice Chancellor, who is the appointing authority.

2.3.4. Notwithstanding, the provision of 2.3.3. above, RCE Coordinators shall be responsible for among others, providing research leadership, which includes:

a) promoting and facilitating leading-edge research, including collaborative and interdisciplinary research, in areas related to the goals of the university;

b) building, and providing sufficient support for, a community of innovative researchers to enhance research capacity at the university and to increase internal and external research opportunities for academic staff, post-doctoral fellows, and graduate students;

(c) developing networks between the research centre and researchers in the field in strategic public and private sectors, locally, nationally and internationally;

d) acting as the nexus between the university and the community with respect to research initiatives of mutual benefit;

e) where applicable, developing mutually beneficial linkages with industry in order to develop partnerships and collaborative research;

f) transferring knowledge to society through outreach (e.g. collaborative research; seminars; workshops; lectures; websites; publications) and, where applicable, through technology transfer (e.g. collaborative research; contract work; and commercialization of intellectual property);

g) developing strong linkages with appropriate academic departments and units and adding value to line departments through:

   i) Aiding staff and student recruitment and retention by enriching the research environment;

   ii) Advancing curriculum;

   iii) Informing the teaching of colleagues;

   iv) Mounting workshops and seminars;

v) Providing interdisciplinary research training and mentoring for undergraduate and graduate students; and

vi) Regular communication of the RCE activities and opportunities for academic staff and students' involvement.

2.3.5. Furthermore, RCE Coordinators shall be responsible for providing administrative leadership, which includes:

a) Leading strategic planning for the RCE to ensure that the centre's objectives are aligned with the university's Strategic Plan objectives;

b) Overseeing the proper discharge of administrative duties of the research centre including supervising personnel, financial management, and operations;

c) Working effectively with the research centre's steering committee(s);

(d) Pursuing the equity goals of the university in the operations of the research centre;

e) Managing the research plan effectively and efficiently, ensuring that accepted standards of research and ethical behaviour are met;

f) Managing the space needs of the RCE in cooperation with appropriate university authorities;

g) representing the interests of the RCE internally with senior academic administration;

h) enhancing the reputation of the RCE and the University by undertaking quality research and communicating that research to the society; and

i) Encouraging and supporting the raising of funds for research conducted by the research centre, capital and operating funds, including cooperation with the Alumni and Development Partners' fundraising initiatives.

2.3.6. The organizational structures of RCE may take various forms. It shall be at the liberty of the College/School/Institute/Department to decide on whether the organization will be based on either of the following structures; 1) Intra-unit structure; 2) Inter-unit structure; 3) Multi-unit structure, and; 4) Inter-Institutional structure (cf. 3.5). The proposed structure must be approved by the relevant University organs and must also be aligned with the overall University structure.

2.3.7. In the case RCE is based on the membership structure, there shall be the following types of members:

a) Academic Staff Members of the University;

b) Adjunct Members of staff from within and outside UDSM (national and/or international institutions) appointed according to the University's procedures for adjunct or honorary appointments. They will be proposed by the RCE Coordinator.

c) Student Members who shall preferably be those who have been enrolled in the research programmes undertaken by the RCE, or in the field of research which falls within the core research themes of the RCE, or who have a member of the RCE as their principal or associate supervisor.

2.3.8. Members of the RCE are obliged to actively engage with the activities and promotion of the RCE including its programmes of research as well as its seminar and workshop programmes, and strategic planning.

2.3.9. Academic staff who are full members or adjunct members of the RCEs are expected to continue to be members of their existing Colleges/Schools/Institutes/Departments and, as such, will be required to continue to contribute to the administrative services to their Units.

2.3.10. The RCE shall be responsible for the financial management and shall report financial matters to relevant organs as per existing University procedures.

2.3.11. The Vice Chancellor may appoint a deputy/assistant Coordinator of the RCE to assist in the administration of the RCE.

2.3.12. Each RCE shall be required to provide Activities and Financial Bi-annual Report to higher UDSM organs in adherence to the reporting procedures.

2.3.13. After every 5 years, a detailed internal review of the functions, achievements, and failures (if any) of the RCE shall be undertaken by the reviewers to be appointed by the Vice Chancellor. The review team shall submit a detailed report with concrete recommendations on whether the Centre should continue with its

functions or otherwise. For details as to procedures refer to Section 4.0

2.3.14. In the case where the review team established under Section 2.3.13 above, recommends that the Centre be dissolved by reason of non-or ill-performance, or any other approved reason, the closure procedure provided for under Section 3.6 shall be followed.

2.4. Research Funding of the RCE

2.4.1. The RCE should solicit and apply for research funding from various sources both internally and externally;

2.4.2. The University, to the extent that the financial circumstances permit, may also support certain research activities of the Centres;

2.4.3. The RCE shall abide to the UDSM Financial Regulations and other applicable laws in Tanzania.

2.4.4. All contracts for RCE funding shall be subjected to the approval process set by the University, which among others include the vetting by the Office of Corporate Counsel.

2.5. RCE Collaboration with Other Institutions

2.5.1. In undertaking its activities, the RCE may enter into research collaboration with other institutions within or outside Tanzania.

2.5.2. All RCE collaboration agreements must be approved by the office of the Corporate Counsel before they are signed;

2.5.3. All RCE collaboration agreements and frameworks shall take into account interests of the University

2.6. Contents of Proposal

2.6.1. The proposal shall be comprehensive enough to allow the assessment of the merits and feasibility of establishing a RCE, and shall include the following:

a) **Proposed Name of Research Centre**

b) **Description and Justification.** This part shall include:

i) A concise statement of the mission and objectives of the proposed research centre and their relationship to the strategic plan of the university;

ii) An identification of the scope of activities envisaged; and

iii) A description of the research benefits and opportunities likely to result from the establishment of the research centre, including an indication of how the proposed research centre would facilitate research among scholars within the university and in the wider community.

c) **Structure.** This shall include a description of:

i) The organization structure of the proposed research centre, including the roles and responsibilities of its various members/ research groups;

ii) The categories of membership and the criteria of each of these categories;

iii) Procedures whereby appointments will be made for each membership category; and

iv) The privileges and responsibilities of membership.

d) **Management:** This should identify the university officer to whom the proposed research centres reports and in whom financial responsibility is vested.

e) **Proposed Membership:** This shall include a listing of the proposed membership of the research centre broken down by the various membership categories, where applicable. For each proposed member, abbreviated curriculum vitae shall be provided which details the following information: degree(s) held, employment experience, professional activities, research interests, research funding record, and record of research achievements.

f) **Physical Resources-**This shall include:

i) Listing of available research facilities (e.g. library holdings, laboratories, space, equipment), including an indication of current strengths, weaknesses and gaps that require to be filled; and

ii) An indication of future requirements, including a proposed strategy for obtaining these resources.

g) **Financial Resources:** This shall include a detailed budget and budget justification for the first three to five years which includes the anticipated

revenue from all sources (i.e. university, government, industry, recovery of indirect costs, royalties, etc.) and proposed annual operation costs, as well as plans for seeking external funding. Centres are expected to be self-sufficient and generate revenue for operations and maintenance independent of the University of Dar es Salaam.

(h) **Statements of Support and Commitment:** Letters of support and commitment should be signed by the appropriate University officer(s) (i.e. Principal/Dean/Director/HoD). Any commitments or agreements to provide space, teaching release time or other resources, including the recovery of indirect costs from contract research, should be documented and signed by those authorized to make such commitments. In the absence of such statements, it will be assumed that no such commitments or agreements have been made.

2.6.2. The quality of the overall proposal for the Centre should include plans on how it proposes to:
a) Develop the Centre's research profile over time;
b) Enhance the quantity and quality of research outputs;
c) Facilitate national and international collaborations with research and industry partners;
d) Develop and mentor new staff and early career researchers;
e) Establish a sound governance and management framework;
f) Provide a high quality Higher Degree by Research (HDR) training environment; and
g) The extent to which these plans are innovative and entrepreneurial.

2.6.3. Expected RCE Outcome
The proposal should also include outcomes and added value including the following:
a) Increased research productivity necessary for competitiveness;
b) Better exploitation of research diversity available across UDSM units as well as other institutions, using complementary knowledge, know-how and facilities;
c) Higher visibility and enhanced profile of the University;
d) Increased flow of funds to the RCEs.

2.7. Annual Reporting Requirements

2.7.1. To facilitate the conduct of periodic review of research centres, the Coordinator of each research centre shall provide an annual report to the university officer to whom he/she reports as well as to the Deputy Vice Chancellor - Research and Knowledge Exchange and SRKEC.

2.7.2. The report shall have the following details: the activities of the centre and its personnel, including research accomplishments, graduate training and other research related activities, such aspublications, conferences, workshops, and seminars, and its financial status.

3. Organisational Structure and Management of RCEs

RCEs shall report to/through existing participatory organs of the University which are chaired by the HoD/Principal/Dean/Director at grassroots levels and/or Director of Research/DVC - RKE/VC (at University levels).

3.1. Appointment of a RCE Coordinator

3.1.1. During the preliminary stages of the planning for the RCE, the collaboration of researchers will have identified an interim Coordinator and a deputy Coordinator for the prospective RCE.

3.1.2. The ad hoc Coordinator and his/her deputy shall prepare a proposal, where possible, jointly with other prospective RCE members and work towards approval of the proposal for the establishment of the RCE in line with these guidelines;

3.1.3. Within six months of approval of the RCE, the DVC-RKE shall appoint a search committee to identify the potential RCE Coordinator and the Deputy Coordinator for appointment.

3.1.4. The Search committee will be guided by the existing UDSM guidelines for appointment of scholars or any other better guidelines as will be agreed by partners to the RCE.

3.1.5. Each Coordinator for a RCE will serve for a renewable term of three-years. The maximum terms of serving as a Coordinator or deputy Coordinator shall be two.

3.2. Responsibilities of RCE Members

3.2.1. In addition to the general responsibilities provided in these Regulations, members of RCE shall be required to actively engage with the routine activities of the RCE including its programmes of research as well as its seminar and workshop programmes, and strategic planning.

3.2.2. Academic staff who are full members or adjunct members of UDSM RCEs shall continue to be members of their existing Colleges/Schools/ Institutes/Departments and, as such, will be responsible to all academic activities of the unit i.e.they shall be required to continue contributing to the teaching and service efforts of that academic unit.

3.2.3. The Principal /Dean/Director/Head of Department shall be the line manager for all RCE members, unless staff is directly and wholly employed by a RCE, and is responsible for staff workloads, staff supervision, performance review and management, and mentoring in consultation with the relevant RCE Coordinator.

3.2.4. The Coordinator shall have a pivotal role in chairing and leading the RCE in making policy on all aspects of research direction, strategic development, and organisation, and in managing its implementation.

3.2.5. The Coordinator shall work in cooperation with the researchers, academic staff, and relevant Heads of Department to develop and maintain optimum conditions for the performance of research at the highest possible levels.

3.3. The Structure of the RCEs

3.3.1. It is recognised that a number of models for management structures may be varied and it is not the intention of this policy to impose uniform structures. However, some general principles are outlined as follows:

a) For each RCE, a Coordinator and a RCE Steering Committee shall be appointed by the Vice Chancellor;

b) Deputy Coordinator shall be appointed by the Steering Committee;

c) The composition of the Steering Committee and the terms of Office of the Coordinator and Steering Committee shall be decided by the DVC-RKE on a case-by-case basis;

d) The Director of Research or his appointee shall be a member, ex officio, of each such Steering Committee, which will be chosen to include representatives of the participating researchers and relevant Departments;

e) The Coordinator, as Secretary of the Steering Committee, shall be responsible for the day-to-day management of assigned staff and

finances, and has overall financial responsibility for the assigned budget;

f) The Chair of the Steering Committee will be the Director of Research or the appointee of the Director of Research.

3.4. Payment of the Responsibility Allowance

3.4.1. The RCE Coordinators and Deputy Coordinators appointed under these guidelines will be paid a responsibility allowance in accordance with the prevailing relevant University policy on Remunerations using its own funds.

3.4.2. Should the RCE prefer a different remuneration arrangement in view of the funding and collaboration arrangements with other institutions, it shall seek the approval of the Senate to that effect.

3.5. Organisation of the RCE

3.5.1. The University shall encourage the establishment of RCEs that will enhance and facilitate multidisciplinary and interdisciplinary research collaboration, knowledge transfer and training.

3.5.2. Academic staff may be involved in one or more of the projects in a RCE and be active in more than one RCE.

3.5.3. The general organization of UDSM RCE shall be as follows:
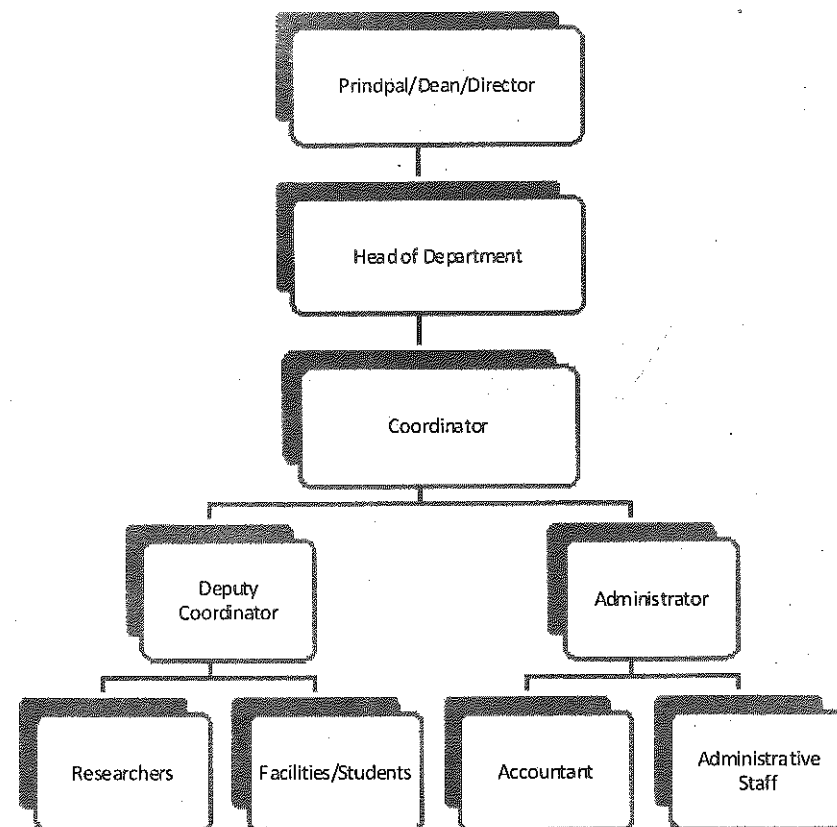
Figure 1: *Structure of Positions of the RCE*

3.5.4. The administrative requirements, approval and renewal processes, breadth of activities, and other aspects of RCEs shall be proportionate to the breadth of their academic constituencies; which is based on the location of the majority of the membership and activities of the centre and approximately parallels a department-school/college-university structure.

3.5.5. The following shall be the membership options:

a) **Intra-unit** - membership and activities normally within a single department or between departments in a single school/college/Institute.
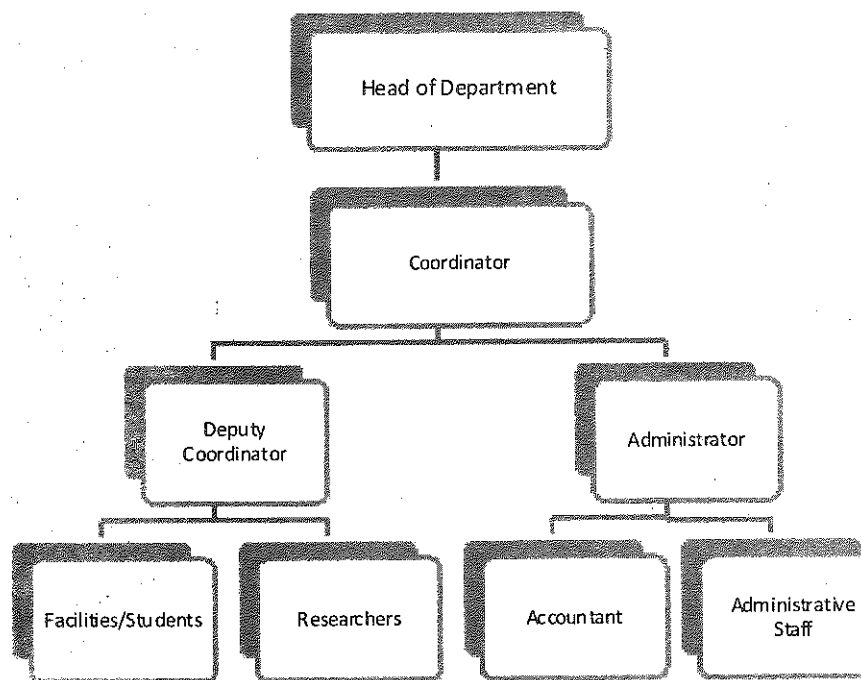
Figure 2: *The Structure of a Departmental Research Centre*

College/School/Institute

Department 1   Department 2

Research Centre of Excellence

Coordinator   Deputy Coordinator

Researchers

Administration   Students/facilities

Figure 3: *The Structure of a College/School/Institute Level Intra-Unit RCE*

b) Inter-unit - membership and activities normally between 2 Colleges/ Schools/Institutes, as per the Figure 2 below.

Figure 4: *Inter-unit Collaborative Structure of a RCE*

c) Multi-unit - membership and activities normally between 3 or more academic units

Figure 5: *The Structure of a Multi-unit RCE*

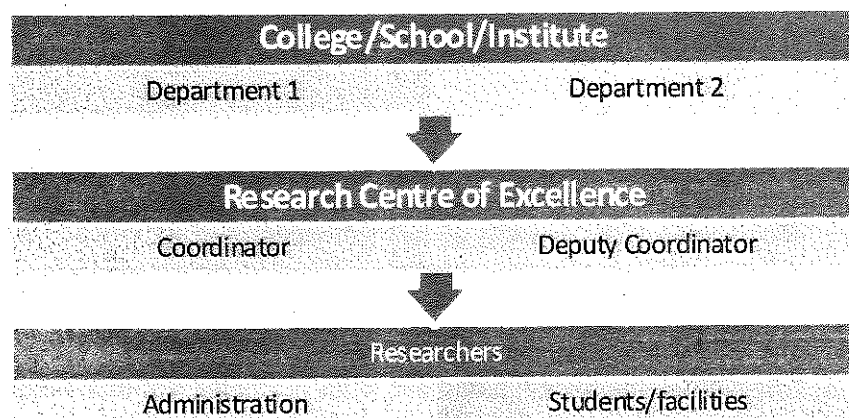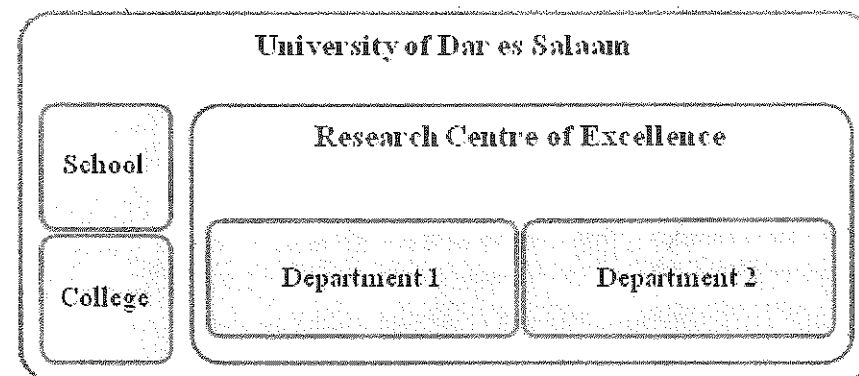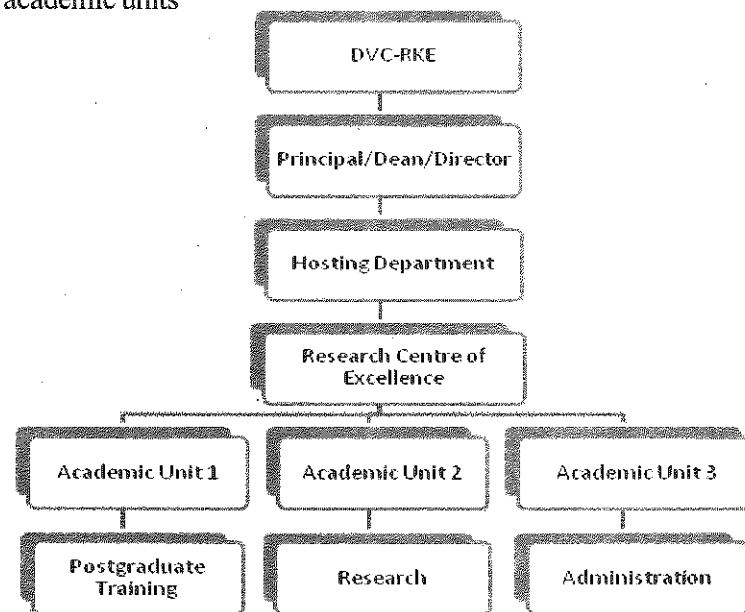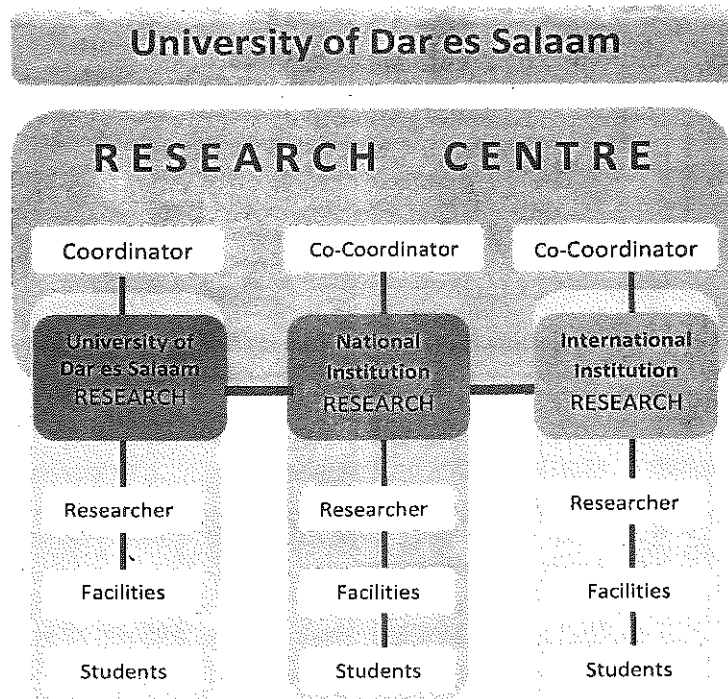d) Inter-institutional - membership and activities between multiple universities from within and or outside Tanzania.

Figure 6: *Inter-Institution Collaborative Structure of a RCE*

3.6. Cessation/Closure of RCE

3.6.1. The RCE are established for a particular objective and may therefore be dissolved by reason of having accomplished the objective for which it was established or on recommendation by the review team established under 2.3.13 above.

3.6.2. In the case the dissolution is by reason of the RCE having achieved its objective(s), the following procedure shall be followed:

a) The RCE shall prepare a detailed activities and financial report covering the entire duration of the existence of the RCE and submit the report through relevant UDSM organs for deliberation and approval;

b) In addition to the reports under 2.6.2 (a) above, the RCE shall submit a concise report on the major achievements which were recorded by the RCE on which the University may take cognizance;

c) Submission of a Clean Financial Audit Certificate from a reputable audit/accounting firm approved by the University;

d) Based on the deliberations and the overall assessment, the Senate may approve the dissolution or disapprove;

e) In the case the Senate disapprove the dissolution of the Centre, it shall provide reasons for the disapproval and recommend necessary remedial measures to be undertaken so that the dissolution may be approved;

3.6.3. In the case the dissolution is by reason of the recommendations by the review team, the following procedure shall be followed:

a) The review team shall prepare and submit a review report through UDSM approval organs, for their deliberation, indicating major observation on the activities and running of the RCE and the basis of their recommendations for the dissolution of the RCE;

b) The reasons for the recommendation by the review team to dissolve the RCE may be based on among other reasons; financial mismanagement at the RCE, idling of the RCE for an extended period of time, or any practice of the RCE which may potentially bring the University into disrepute;

c) RCE Coordinator and other members of the RCE shall be afforded the opportunity before the Senate to counter/defend against the allegations contained in the Review Report;

d) Based on the deliberations, the overall assessment, and the explanation of the RCE, the Senate may approve or disapprove dissolution;

e) In the case the Senate disapprove the dissolution of the RCE as proposed by the review team or based on the closure reports of the RCE, it shall provide reasons for the disapproval and recommend necessary remedial measures to be undertaken so that the dissolution may be approved.

f) In the case of the approval of dissolution, the Senate/Chairman on behalf of the Senate shall issue an instrument/official communication

to that effect to the Principal/Dean/Director/ Head of Department to which the RCE was affiliated. The notice of dissolution shall be placed on the Public Notice Board of the University so that members of the University are accordingly informed.

3.6.4. Once a decision has been made to dissolute the RCE, it shall be noted that all properties accumulated during the lifespan of the RCE shall remain the property of the University. The University shall decide on how to dispose the property.

4. Monitoring, Evaluation and Review of the RCEs

4.1. Procedures for Monitoring of the RCE Performances

4.1.1. For the purposes of evaluation and monitoring, each RCE shall have its rolling strategic plan (RSP) entailing activities, indicators, inputs, outputs and who will do the activities, budgets of the RCE and the impact of the RCE activities.

4.1.2. An important element in the RSP shall regard a need to achieve high levels of international visibility in terms of extensive international networks and connectivity as well as partnerships and linkages (university-industry partnership). Enhanced RCE international visibility will enhance UDSM profile and international competitiveness.

4.1.3. An equally important element of the RSP shall regard impacts of the RCE in attracting increased international funding which shall lead to enhanced quality and volume of RCE output that will influence the national innovation system, increased knowledge transfer and funds etc. as per in 4.1.1.

4.1.4. Once in a month each member of RCE shall be required to report activities done as per 4.1.1-4.1.2 to the Steering Committee. There shall therefore be monthly evaluation forms that shall be filled by every RCE member and submitted to the Coordinator.

4.1.5. The RCEs shall be required to hold meetings bi-monthly to deliberate on the evaluations and report action taken to the Steering Committee.

4.2. Procedures for Evaluation of the RCEs

4.2.1. The evaluation shall assess the outcomes and impact of the RCE rolling strategic plans or impact of the RCE activities and will entail annual, midterm self-evaluation and major external evaluation to be conducted at the end of planned RCE project period.

4.2.2. The evaluation of RCE shall entail both internal and external evaluators. The internal evaluations shall be conducted annually, biannually, or as a midterm using RCE/UDSM staff.

4.2.3. The evaluation process of the UDSM RCE shall be for the purpose of improving the quality of research and quantity of the outputs at the national and international level.

4.3. Evaluation for the Establishment of a New RCE

4.3.1. This evaluation shall be carried out for the purpose of assessing the need and the importance of the establishment of a new RCE.

4.3.2. The evaluation team shall evaluate the proposal for the RCE and forward the recommendations to the relevantUDSM organs.

4.3.3. Specifically, the appointed team shall:

   a) Assess whether theobjectives of the proposed RCE are in line with the UDSM's goals and priorities set in the UDSM Research Policies.

   b) Evaluate whether the research agenda is in line with the UDSM Research Policy and the National Policy on Research and Development.

   (c) Assess whether the proposed RCE will have an added value to the UDSM research activities.

   d) Determine whether the composition of the proposed RCE members and theirexpertise shall promote the interdisciplinary and multidisciplinary nature of research activities.

   e) Assess whether there were consultations to determine the level of participation of the Heads of the Department, Deans, academic and technical staff of the units who willbe part of the proposed RCE.

   f) Assess the plan for attracting research funding from external sources.

4.3.4. Furthermore, the appointed evaluation team shall evaluate the submitted proposal in order to:

   a) Assess whether the proposal has adhered to the UDSM format for research proposal writing.

   b) Assess the logical framework of the proposed RCE issues.

   c) Assess the relevance, efficiency of the chosen approaches, expected results, and the impactof the proposed RCE to the UDSM such as raising the university ranking, outreach to the community etc.

   d) Assess sustainability and the exit strategy of the RCE.

4.4. Evaluation of RCEs

4.4.1. The already existing RCEsat UDSM shall be required to abide to all the approval processes enshrined in these Guidelines in order to qualify to remain a RCE. A committee shall conduct an evaluation so as to assess its performance indicators indicated in the logical framework matrix. Examples of indicators may include:

1) Scientific Output – i.e. *number of publications,' number of patents obtained nationally and internationally, relevance of the building capacity in the university;*

2)Indicators of Output of Services- *i.e. number of clients attracted, revenue growth in R & D;*

3) Indicator of capability building – *i.e. scientists undergoing training in the RCE, satisfaction of science regarding opportunities for personal development, networking, relationship with government and funding agencies;*

4) Indicator of delivery system/business development– *i.e. percentage of income from clients to the RCE budget, number of new services inaugurated;*

5)Indicator of Management – i.e. *personnel management, financial management, project management, and;*

6) General Indicator of Performance of the RCE – *i.e. percentage growth of budget, percentage growth of staff, client income and budget, number of national missions or assignments in which the RCE is involved, number of scientists who have received national and international awards, number of scientists involved in the international committee, boards of journals and satisfaction of government and its agencies, and industries.*

4.4.2. The evaluation of the RCE will be categorised into annual self evaluation, midterm evaluation and end of the project evaluation

4.4.2.1. Annual Self Evaluation:
  a) The evaluation team consisting of FIVE members (three participating researchers and two independent members[2]) shall be appointed by the Coordinator of the RCE. One of the independent members shall come from University of Dar es Salaam Quality Assurance Bureau (QAB) or represent the QAB.
  b) The team shall be given ToRs detailing the purpose of evaluation.
  c) The evaluation team will conduct the annual evaluation of the RCE and submit the written report to the Coordinator of the RCE who will then submit the report to the DVC-RKE.
  d) The evaluation will be against the set performance indicators.

4.4.2.2. Midterm Evaluation
  a) The midterm evaluation shall be conducted by every RCE member for it assists the Management of the RCE to adjust its plans and strategies during implementation of its activities.
  b) The evaluation shall base on, among other, the self evaluations reports. In addition, it will assess the RCE against it performance indicators.
  c) The evaluation team shall be appointed by the DVC-RKE and it will be composed of senior peer researchers, experts, and independent member (s). The QAB must be represented in the team. The evaluation team should not exceed SIX members.
  d) The Coordinator of the RCE may propose names of the potential evaluation team to the DVC-RKE. The evaluation team shall be given ToRs and all necessary documents needed for evaluation/review by the RCE.
  e) Each RCE shall provide its logical framework matrix to the review team.
  (f) The RCE midterm evaluation shall be conducted to evaluate/review the RCE documents and analyse existing data from the fact sheet.
  g) The evaluation team will also conduct data collection. Upon completion, the evaluation team shall submit a report to the DVC-RKE.

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[2] The other independent member should not be affiliated to the RCE but should be able to make positive contributions to the advancement of the RCE

4.4.3. Despite that these guidelines state clearly the procedures for monitoring and evaluation of the RCEs, it is expected that the QAB will use provisions in the QAB policy to ensure quality of activities and outputs of the RCEs.

4.5. Procedures for Review of the RCEs

In order to ensure that all research is consistent with the goals of the University and that RCE reflect positively on the general reputation of the University, RCE shall be reviewed on a periodic basis not less than every five years.

4.5.1. Review Process
4.5.1.1. Notice of the review will be communicated to the Coordinator of the RCE by the DVC-RKE at least six (6) months prior to the end of the mandate of the RCE.
4.5.1.2. In response to this notification, the Coordinator of RCE shall submit to the DVC-RKE a report which contains the following:
  a) A description of how and why the RCE has achieved or revised its original objectives;
  b) A detailed listing of its research training accomplishments; a current membership list in the form of a fact sheet; and a detailed financial statement;
  c) A five-year plan which identifies future research directions and development strategies;
  d) Letters indicating continued support for the RCE from appropriate Principals/Deans/Directors/Head of Departments; and
  e) The names of individuals who can provide external assessments of the RCE.
4.5.1.3. On the basis of this report as well as a review of annual reports, the DVC-RKE shall determine whether a formal, independent review committee should be appointed to conduct a full review of the RCE.
4.5.1.4. In the case a full review of the RCE is not warranted, in that it is clear that the RCE either qualifies for continuation or that it does not, the DVC-RKE shall recommend to Senate that the RCE continue for a another period, or that it be terminated, without further review.

4.5.1.5. The recommendations shall take into account the pending or ongoing legal obligations which the RCE has already committed itself.

4.5.1.6. In the event that a full review is required, a review team shall be appointed by the VC in consultation with DVC-RKE at least six (6) months prior to the end of the mandate of the RCE.

4.5.1.7. The membership of the review team shall normally include: a senior researcher with administrative experience and no direct involvement in the RCE (preferably a former Dean or Department head) who shall act as Chair of the committee; the Coordinator of another RCE; a researcher who is not affiliated with the RCE but is knowledgeable in the field of its research activity; the DVC-RKE or his/her designate to assess financial and institutional concerns; and other members as deemed appropriate.

4.5.1.8. Once appointed, the review team shall declare whether they have conflict of interest or commitment in the RCE.

4.5.1.9. The mechanism by which the review team elects to conduct the review shall be at the discretion of the committee in consultation with the DVC-RKE.

4.5.1.10. Notwithstanding the above stipulations, the primary focus of the review shall be an assessment of: the extent to which the RCE has fulfilled its objectives; the benefits accruing to gender aspects and to participating RCE research team members; the appropriateness of is future goals; and its current and projected financial viability.

4.5.1.11. The review process shall involve meetings with the Coordinator and members and should also include the solicitation of external assessments as well as discussion with non members of the RCE from related departments/fields.

4.5.1.12. The review team will collect the information from, among others, the following documents retrieved from the RCE:
   a) The Guidelines on how to establish and run RCE
   b) The RCE Strategic Plan
   c) Documents describing the application procedures and assessment processes
   d) Annual reports of the RCE

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4.5.1.13. The following issues shall be looked at during reviewing process:
   a) Review the documents of the RCEs to assess and see the extent the implementation of the activities is in line with the objectives for established.
   b) Assess the past records of research achievement in terms of journal papers use as a base to decide whether the proposed collaborative / application is feasible.
   c) Judge the ability of the RCE to promote research at UDSM.
   d) Look at the number of the published Journal papers and whether they are of high quality and hence an added value.
   e) Assess the extent at which past research papers produced by the RCE has been cited in journals.
   f) Assess the extent to which the RCE has been able to attract external funding for research.
   g) Judge the ability of the RCE to initiate and strengthen internationalisation of research.
   h) The ability to build strong research groups/teams composed of knowledgeable and skilled multi-disciplinary researchers of the UDSM from various units.
   i) Assess the number of trained PG students (Masters, PhD, and Post Doctoral) and the quality of their theses.
   j) Evaluate the extent at which the RCE has disseminated the published works to reputable outlets.
   k) Evaluate the number of patents and or copyright for the outputs of the CRE applied for and awarded during its existence.
   l) The ability to create and conduct outreach programmes.
   m) The ability to manage its financial aspects.
   n) The size and level of participation of researchers of the RCE in international committees and Boards of journals
   o) Evaluate to see how the RCE of the UDSM has been different from other teaching units in terms of its research outputs. This way we shall avoid duplication of outputs/units.
   p) Ability to network with other teaching Units

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q) The extent at which the RCEs involves its academic and technical staff in effective planning, efficient implementation research process and ensuring the quality of research outputs.

r) Assess the ability to what extent the RCE has set up database and maintaining accessible electronic abstracts of the research output and other related publications.

s) Ability of RCE to bring potential improvement in research activities of the UDSM.

t) The ability to interact with the Directorate of Research of the UDSM

u) To what extent the RCE is aware of the UDSM Research policy and Operational Procedures, Research Ethics Policy and Operational Procedures, the UDSM IP policies and UDSM Rolling strategic plan.

v) To what extent the RCE is aware of the Tanzanian National Research and Development Policy and aligning its activities toward contributing in attain the implementation of that policy and UDSM rolling strategies.

w) The level of interaction of the RCEs and other leading research units within the UDSM, within Tanzania (other Universities, Research Institutes) and outside the country.

x) The level to which the UDSM RCE has made impact on gender equality.

y) Assess the extent to which the RCE of the UDSM has in place strategies to ensure that their academic staffs are motivated to conduct research.

4.5.1.14. The review team shall provide a written report to the DVC-RKE within four months of being established.

4.5.1.15. Before submitting this report, the chairperson of the review team shall provide a copy of the report to the Coordinator of the RCE under review to ensure that the report contains no factual errors. The Coordinator may submit a written commentary on the report to the DVC-RKE.

4.5.1.16. The DVC-RKE shall consider the report of the review team, consulting with the VC as necessary before making a recommendation to Senate concerning the RCE. The recommendation may be:

a) Continuation with review in 5 years;

b) Continuation with review in less than 5 years;

c) Restructure and reorient its activities before continuation (to be done within 3 months); or

d) Cessation.

5. Revision of the Guidelines

5.1 This Guidelines document shall be revised after 10 years from its approval. The revision of the guidelines shall be commissioned by the DVC-RKE. A review team shall be appointed and be given terms of reference on how to review the guidelines.

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Appendices

EXPRESSION OF INTEREST TO ESTABLISH A RESEARCH CENTRE OF EXCELLENCE (RCE)

1. RCE OVERVIEW

Name of RCE:	
Application Type:	Intra-unit ☐ Inter-unit ☐ Multi-unit ☐ Inter-Institutional ☐

1.1 Primary Contact Details

Name:	
Title:	
Area:	
Telephone:	
Email:	

1.2 Secondary Contact Details (where it is inter-unit, multi-unit or Inter-institutional)

Name:	
Title:	
Area:	
Telephone:	
Email:	

1.3 Research Focus

Broad Area Focus:		
Reporting Unit:		
Other Related Faculty/ Institute/Centre/Teaching Area(s):		
External Collaborations: (significance should be noted as regional, national or international)	Name	Significance

Name	Level	Academic Rank[a]	Time Commitment[b]	Paid Allowance (Y or N)	Role	Area of Specialization	Number of Publications	Membership[c] (Y or N)
e.g. Peter Masanja	PhD	Senior Lecturer	30%	Y	Deputy Coordinator	Stochastic Controls and Application	21	Y

a Lecturer/Senior Lecturer/Associate Professor/Professor/Postdoctoral/ Members

b Time Commitment is the proportion of time that is allocated to research that is aligned with the RCE.

c Membership in International committees and Boards of Journals

2. CONTEXT STATEMENT

2.1 Nature of Research/Objectives (not more than 1 page. Must include key performance indicators)

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2.2 Strategy and Plans (not more than ½ page)

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2.3 Proposed Management and Advisory Structure (not more

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3. PERFORMANCE
3.1 RCE Members Summary Data
Total Research Publications

Type	Current -3 years	Current -2 year	Current -1year	Current Year
Books				
Book Chapters				
Refereed Journal Articles				
Refereed Conference Papers				
Other (including research creative works)				
Total				

Total Research Income

Type	Current -3 years	Current -2 year	Current -1year	Current Year
Competitive Research Grants				
Other Public Sector Funding				
Industry and Other Funding				
Cooperative Research Centre funding				
International funding				
Other funding (e.g. consultancy)				
Total				

Total Higher Degree by Research Load

Type	Current -3 years	Current -2 year	Current -1year	Current Year
Doctoral students supervised				
Masters students supervised				
Total				

Total Higher Degree by Research Completions

Type	Current -3 years	Current -2 year	Current -1year	Current Year
Doctoral students supervised				
Masters students supervised				
Total				

3.2 Research Quality

Attach a Research Record for each proposed member that includes:
- Recent publications for the past six years.
  o List publications under the following headings and in this area:
- Research books
- Research book chapters
- Refereed research journal articles
- Refereed research conference articles
- Creative works (research)
  o In press publications should include acceptance date.
- Research grants for the past three years

3.3 Impact of Research

Academic Impact (evidence that research is recognised as significant by the discipline) (not to be more than ½ page)

Impact beyond Academe (evidence that research has had social, environmental, economic or cultural impact) (not to be more than ½ page)

4. RESEARCH ENVIRONMENT

4.1 Collaborations (brief outline of key strategic links)

5. BUDGET

Detail	Current Year	Current Year +1	Current Year +2	Current Year +3
Income				
Competitive Grants				
Other Public Sector Funding				
Industry & Other Funding				
COSTECH				
College/school/Institute support				
Central support[1]				
Consultancy income				
Total				
Expenditure				
Project specific expenditure[2]				
Salaries (plus on-costs)[3]				
Scholarships and top ups				
Contribution to Academic Staff Administration support and office space				
Travel				
General admin and consumables				
Other				
Total				

Notes

1. Support from UDSM Central Administration
2. Expenditure associated with grant income can be consolidated as project specific expenditure.
3. Salary expenditure not covered by direct costing to projects (i.e. not included in Project Specific Expenditure)

UNIVERSITY OF DAR ES SALAAM

Evaluation of the UDSM Centre of Excellence

Questionnaire for evaluating the performance of the research centre of excellence as per its plans of action

Instructions:

In order to collect information, which may lead to the improvement of the standards of performance of the RCE at the University of Dar es Salaam, you are asked to respond to the statements made on the activities, their respective assessment in the attached questionnaire. Please take your time and carefully provide information on the various issues raised below.

Please fill in the questionnaire and return to chairperson of the evaluation committee

Email.. Date ....

1. Address	
Name of the application centre or RCE::	
Name of the Host unit:	
Name of the Coordinator:	

1. Below, please indicate type, location and interdisciplinary/multidisciplinary of the RCE.

Location of the RCE:

Located in single building/ or in Multiple buildings at the UDSM campus?

Degree of interdisciplinary/multidisciplinary of the RCE: (tick)	High	Medium	Low

Please elaborate on the kind of interdisciplinary/ *multidisciplinary* nature of the RCE of the UDSM and indicate which disciplines are involved

3. What is the situation of the present RCE as compared to the situation for the key participants/your research group at the time of the application (year............)? Assess the situation concerning RCE activities. Have they increased same as before or decreased?

	Increased	Same as before	Decreased
i. Research resources (funding, infrastructures and equipment)			
ii. Ability to attract external research funding (apart from RCE-funding)			
iii. Ability to attract young talented researchers			

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i. Ability to attract distinguished senior researchers			
ii. Collaboration with internationally leading research groups in your field			
iii. Role in making UDSM research in your field internationally visible			
iv. Collaboration with industry or other research users			
v. Collaboration with other research groups/researchers at your department/institute/schools/colleges			
vi. Involvement in teaching at undergraduate/bachelor and master level			
vii. Involvement in PhD education			

4. Key Issues: Assess the extent to which the following items are attractive about the RCE

5= Strongly agree; 4= Agree; 3=Neutral; 2=Disagree; 1=Strongly disagree	5	4	3	2	1
i. The RCE has the ability to attract and retain Human resources					
ii. The RCE has the ability to attract external funding					
iii. The RCE has the ability to attract and retain young talents					
iv. The RCE has the ability to attract and retain distinguished seniors					
v. The RCE has the ability to attract international projects					
vi. The RCE has the ability to collaborate with international leading research centres					
vii. The RCE has International visibility					
viii. The RCE has the ability to link with industry					
ix. The RCE has increased the level of department collaboration					
x. The RCE has increased the level of national collaboration					
xi. The RCE has increased the level of interdisciplinary/multidisciplinary collaboration					
xii. The RCE has supported and promoted the level of post graduate teaching					
xiii. The RCE has increased the level of PhD education and outputs					
xiv. The relevance of the research topics/agenda of the RCE are in line with the National Research Agenda					

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1. What do you consider to be the most important added value of the RCE *funding* for your research and what is the most important added value of the RCE *status*?
i. Added value of the RCE funding:
ii. Added value of the RCE status:

6. Please indicate the present recruitment and teaching situation for your research group/your research compared to the financial situation at time of the application (...)

Today's situation concerning:	Increased	Same as before	Decreased
i. Ability to attract junior researchers			
ii. Ability to attract distinguished senior researchers			
iii. Involvement in teaching at undergraduate/bachelor and master level			
iv. Involvement in PhD education			
Please elaborate differences and possible explanations:			

7. The governance of the UDSM RCE

i. Is the RCE governed by a governing body of the host institution or by a specially appointed steering committee?
ii. Who appoints the RCE steering committee, the representation of the RCE steering committee and the authority of the Steering Committee and RCE Coordinator?
i. Does the RCE have an advisory board?   Yes / No
ii. If yes, specify its members and the authority given to the advisory board

8. Comment and if possible give your views briefly and assess the role of steering committee, use the following

5= Exceptionally good; 4= Very Good; 3=Good; 2=Fair; 1=Weak	5	4	3	2	1
i. Role and authority of the RCE Steering Committee					
ii. Selection and appointment of RCE Steering Committee members					
iii. Role of a scientific advisory board, if any					
iv. Relationship between governing board and centre Coordinator,					
v. Changes in governance planned due to experience acquired					

9. Organisation and administration of the RCE

Specify how the RCE is directed (by RCECoordinator/head alone or by RCECoordinator/head and a management group) and possible delegation of authority	
Specify how administrative matters related to management of the centre personnel and economics are organised	

10. Performance indicators of the RCE

5=Exceptionally good; 4= Very Good; 3=Good; 2=Fair; 1=Weak	5	4	3	2	1
i. Evaluate the documents of the RCEs to assess and see the extent the implementation of the activities is in line with its objectives					
ii. The size and level of researchers composition of the RCEs					
iii. Number of past records of research achievement in terms of Journal publications					
iv. The sustainability and goodness of the exit strategy of the RCE in the absence of external fund					
v. The ability to create and conduct outreach programmes					
vi. The extent to which past research papers produced by the RCE have been cited in journals					
vii. The ability of the RCEs to initiate and strengthen internationalisation of research					
viii. The extent to which the RCEs involves its academic and technical staff in effective planning, efficient implementation research process and ensuring the quality of research outputs.					

i. The extent to which the RCEs have been able to attract external funding for research.					
ii. The ability to build strong research groups/teams composed of knowledgeable and skilled multi-disciplinary researchers of the UDSM from various units.					
iii. The number of trained PG students (Masters, PhD, and Post Docs)					
iv. The quality of the theses produced by Masters, PhD students					
v. The extent at which the RCEs have disseminated the published works to reputable outlets					
vi. Evaluate the number of patents and/or copyright for the outputs of the RCE applied for and awarded during its existence.					
vii. To what extent the RCE is aware of the UDSM Research Policy and Procedures, Research Ethics Policy, the UDSM IP Policy and UDSM Rolling Strategic Plan					
viii. The level of interaction of the RCEs and other leading research units within the UDSM					
ix. The level of interaction of the RCEs and other leading research units with other Universities, Research Institutes in Tanzania					
x. The level at which the UDSM RCE made impact on gender equality					
xi. The ability and the extent to which the RCE has set up a database and maintaining accessible electronic abstracts of the research output and other related publications					
xii. The extent to which the RCE has in place strategies to ensure that their academic staff are motivated to conduct research					
xiii. The ability of RCEs to bring potential improvement in research activities of the UDSM					
xiv. The ability to interact with the Directorate of Research					
xv. The ability to manage its financial aspects					

11. Collaboration with host institution

Please comment on the RCE's relation to its host institution:	
i.	The level of interaction between scientific staff at the centres and the host institution/host Department/Institute/College	
ii.	How the centre influence/may influence the research environment in the host institution, as well as	
iii.	Interaction concerning administrative functions. Please elaborate on possible challenging issues and tensions in the cooperation with the host institution, as well as the centre's added value for the host institution.	

12. Please indicate the present financial situation for your research group/your research compared to the financial situation at time of the application (...... to ....year).

Assess the situation concerning RCE activities - About the same, Increased, Decreased?

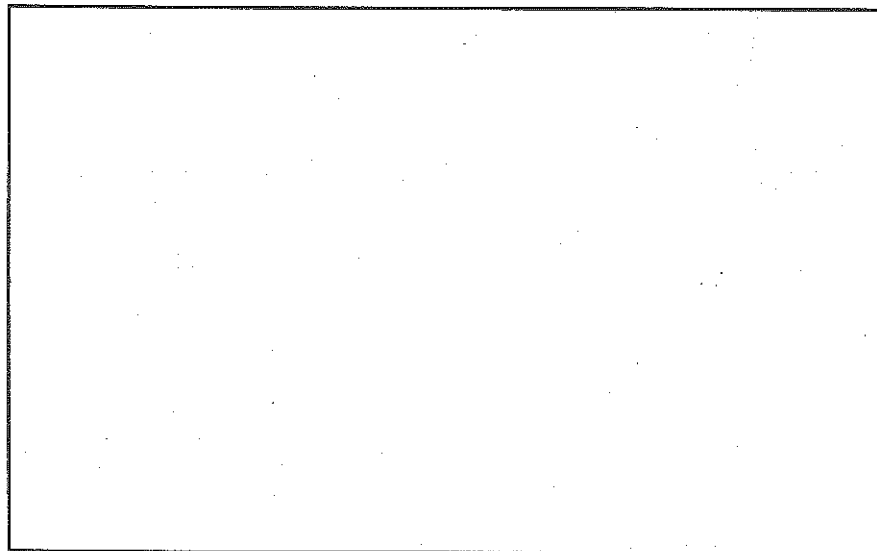| Today's situation	Increased	Same as before	Decreased
i. Basic funds/funds from the university/schools/institute/college			
ii. Funds from the Research COSTECH/Ministry/Private organisation/others(please specify)			
iii. Other external funding			
Please elaborate differences in financial situation and give possible explanations:			

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13. To what extent was the midterm evaluation of the centre ....year helpful? Please elaborate on any impact of the midterm evaluation on the RCE (e.g. on its activities, research strategy/profile, organisation, or on the attitude or attention of the host institution)

14. In your opinion, has the establishment of RCE influenced the funding of your research field? To be filled by the researcher or PhD students or Postdoc). YES/NO

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15. If you have suggestions for improvements of the RCE working, please elaborate below (e.g. concerning (co)funding, size and organisation, host institution role, the national role of RCEs.

ToR for carrying out the Assignment
The following ToR were given to assist the Team successfully carry out the assignment, namely to:

1) Clearly define Research Centre at the UDSM;
2) Propose the structure and operations of Research Centres of Excellence (RCEs) which entail:
   a) Aims, objectives and functions of RCEs including postgraduate training;
   b) The benefits and attributes of RCEs;
   c) The number and membership of RCEs;
   d) Management structure of RCEs;
   e) Responsibility of the Centres' leadership and members to the Centre;
   f) Relationship between RCEs and teaching Colleges/Schools/Institutes and other organs at UDSM;
   g) Funding of RCEs
3) Propose the process to establish new UDSM RCEs or reorganise the existing UDSM RCEs. These will include:
   a) Selection criteria for establishment of new RCE
   b) Process to be followed in establishing new or reorganising and exiting Research Centres (RCs/RCEs)
4) Propose modalities for review/evaluation of research centres:
   a) Responsibility for review and frequency of review/evaluation;
   b) Criteria for the performance evaluation of UDSM Research centres (RC/RCE);
   c) Process to be followed in the performance evaluation ;
   d) Decision making emanating from reviews e.g. retention, disestablishment/reorganization of RC (RCE).
5) Propose the frequency for the UDSM RC Policy review and responsibility for the same;
6) To propose any other relevant matter on RCs/RCEs at the University.