

RESEARCH AND INNOVATION GRANTS MANUAL



December, 2019

List of Abbreviations

APA	American Psychological Association
BoQ	Bill of Quantity
CN	Concept Note
COSTECH	Tanzania Commission for Science and Technology
CRMS	COSTECH Research Management System
DSA	Daily subsistence allowance
HLIs	Higher learning Institutions
IP	Intellectual Property
IPR	Intellectual Property Right
ISCI	International Scientific Citation Index
M&E	Monitoring and Evaluation
NFAST	National Fund for Advancement of Science and Technology
DRCP	Directorate of Research Coordination and Promotion
CDTT	Center for development and Technology Transfer
FAM	Finance and Accounting Manager
LSM	Legal Service Manager
NRAST	National Research Award for Science and Technology
PAA	Pre-Award Assessment
PI	Principal Investigator
R&D	Research and Development
SMEs	Small Medium Enterprises
SOP	Standard Operating Procedures
SSA	School Science Award
STI	Science Technology and Innovation
TASTA	Tanzania Award for Science and Technology Achievement

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1. INTRODUCTION

1.1 Background

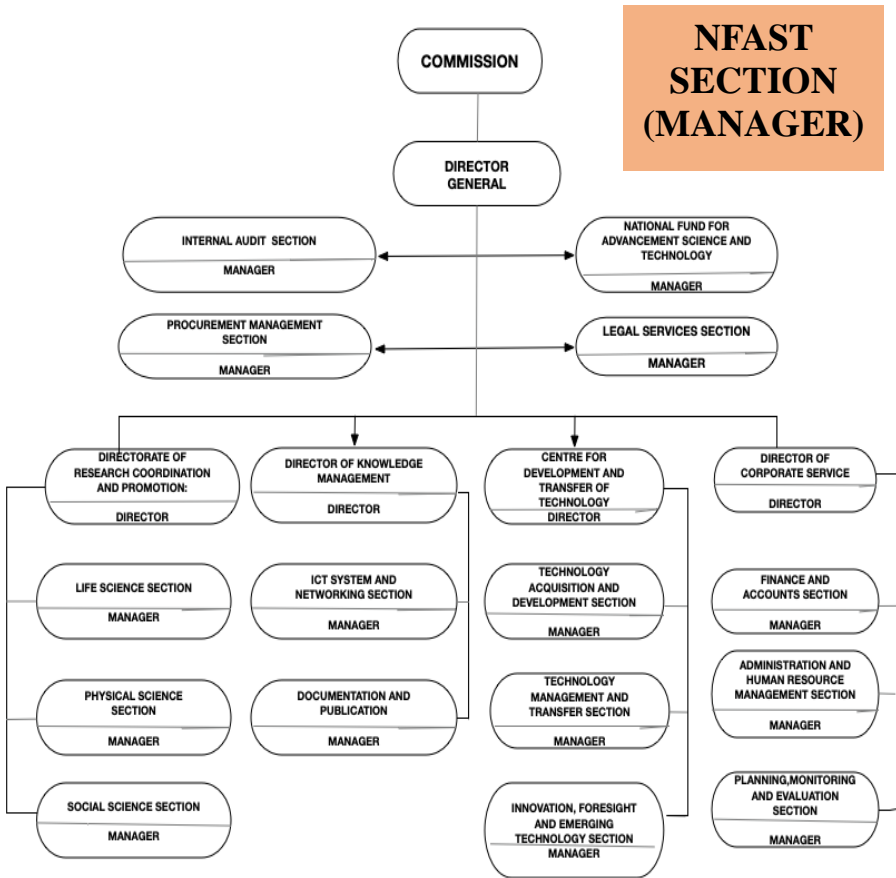
The Tanzania Commission for Science and Technology (COSTECH) was established in 1986 by the Act of Parliament No.7 as a successor to the Tanzania National Scientific Research Council (UTAFITI). The Act repealed and replaced the Act of Parliament No. 51 of 1968. The Commission is an apex body for the coordination, promotion and popularization of Science, Technology and Innovation in Tanzania. In order to fulfill its core mandates the Commission supports advancement of science and technology through innovative research; technologies and innovation activities through COSTECH strategic plan based on National socioeconomic priorities.

Part V of the Act No. 7 of 1986 provides for the establishment of the Fund that shall be known as the National Fund for the Advancement of Science and Technology (NFAST) and shall be managed and administered by the Commission. The Fund is basically intended to provide support in terms of grants and awards to Science, Technology and Innovation (STI), Research and Development (R&D) and technology transfer activities carried out by local scientists within the national priority areas. The main funder of the NFAST is the Government of United Republic of Tanzania. The Commission collaborates closely with development partners and other collaborators to support sustainability and strengthening NFAST functions and funding systems.

This Grant manual therefore provides guidelines and procedures for provision of various grants and awards. The grants may be given in full or in collaboration with other agencies.

1.2 Position of NFAST within COSTECH structure

THE FUNCTIONS AND ORGANISATION STRUCTURE OF THE COMMISSION FOR SCIENCE AND TECHNOLOGY (COSTECH)



1.3 Objectives of NFAST

The objectives of the fund are to:

- a. Support research with special emphasis in the national priority areas;
- b. Support development and transfer of appropriate technologies;
- c. Support capacity building in R&D and STI activities in terms of research, human resources and facilities, support organization of/or attendance of scientific fora and information dissemination and communication;
- d. Promote innovativeness and inventiveness through the provision of awards;
- e. Commission individuals, groups of individuals, institutions or groups of institutions to undertake research or studies in special areas identified by the Commission to be of a national interest;
- f. Support innovation related activities such as in micro, small and medium size companies, hubs, labs and co-creation networks; and
- g. Support integration of research and innovation processes, user-centered and open innovations, co-creation and particularly design.

1.4 Areas of STI Support

The Commission through NFAST does the following areas:

- i. Support of scientific Research on National priorities;
- ii. Support of technological development and transfer;
- iii. Capacity building to R&D in STI activities;
- iv. Joint collaborations –Tanzania and other countries agreed areas;
- v. Innovation grants to support innovative/up scaling projects;
- vi. Support to commissioned research /innovative studies grants; and
- vii. Support grants assistance (awards and sponsorships).

2. PART A: RESEARCH GRANTS GUIDELINES



2.1 Types of the Grants and Awards

2.1.1 Open Competitive Research Grants

Open research grants are awarded to researchers in a competitive basis. The grants can be based on calls that have a specific theme responding to specific national priorities or can be broad in nature allowing researchers to explore diverse areas of scientific inquiry.

The Open research grants are sub-divided into the following categories:

Category 1: *Small grants.* The grants are for supporting small field studies such as fact finding studies, baseline studies and pilot studies;

Category 2: *Standard grants.* The grants to support research projects of two years but not exceeding three years;

Category 3: *Long term grants.* The grants to support research projects of three years but not exceeding five years; and

Category 4: *Partial support.* The grants for research projects being supported under co-funding arrangements. The Funding is awarded upon indication of clear evidence of the need of the requirement.

The research grants in category 2 and 3 are awarded to support research of nature of being demand driven, multi-disciplinary and with clear evidence of near to market results.

2.1.2 Commissioned Research Grants

The Commission through its R&D Advisory Committees contracts studies to individual researchers/institutions in order to solve specific problems of national interest. Commissioned research grants may also support the promotion of new and emerging technologies, technology incubation and transfer as well as documentation and dissemination of scientific information. The award value of the grant awarded depends on the nature of the project.

2.1.3 Fellowships Grants

Fellowship grants support Postgraduate studies, short course, and establishment of research chairs and center of excellence as follows:

Category 1: The fellowship grant supports full or partial sponsorship for Master Degrees and PhD tenable within the country. In specific cases where expertise is not available in the country, the grant may support studies abroad as it is recommended by the Commission;

Category 2: The fellowship grant supports full or partial sponsorship to short courses tenable locally or outside the country;

Category 3: The fellowship supports research excellence through full or partial support to Post – Doctoral fellowships; and

Category 4: This category supports strategic research groups to establish research chairs and center of excellences.

2.1.4 Support to R&D and Higher Learning Institutions (HLIs)

R&Ds and HLIs may apply for grants as outlines in the 6 categories below:

Category 1: Support to develop and strengthen research facilities;

Category 2: Support and strengthen scientific research, research coordination mechanism and technological development and transfer;

Category 3: Support to scientific publication, dissemination of scientific and technological information, writing of scientific textbooks and monographs;

Category 4: Support to scientific expeditions within the country and abroad;

Category 5: Support the development and strengthening of national, regional and international linkages; and

Category 6: Support the creation and maintenance of databases on STI.

2.1.5 Support to attend Scientific Events

The purpose of the travel grant is to assist local scientists, researchers, innovators and technologists that play a key role to participate in national, regional and international scientific events such as meetings, conferences, exhibitions, seminars, workshops, which are relevant to socio-economic development of the country. The support may be partial or full in either of the following categories depending on the availability of funds:

Category 1: Round trip economy class (by shortest route) ticket to the conference/meeting;

Category 2: Standard Daily Subsistence Allowance (DSA) equivalent to the number of nights at the meeting and as per the government financial regulations; and

Category 3: Registration fee of up to the full amount payable.

The funds will not support the following expenditures in connection with the participants attending conferences/meetings:

- i. Expenses incurred with respect to visa, insurance, medical or hospitalization bills;
- ii. Compensation in the event of death, disability or illness of the participant, loss of and/or damage to personal belongings of the participants, and
- iii. Incidentals enrooted.

2.1.6 Support Scientific Events.

The purpose of this grant is to assist scientific associations, institutions and programs to organize scientific events such as conferences and meetings that are relevant to socio-economic development of the country. The funds will be provided in partial or full support on the following categories:

Category 1: Publication of journals, , book of abstracts and proceedings; and

Category 2: Participation and awards for young and female scientists.

2.1.7 Support Schools

The following categories are applicable:

- Category 1:** There are awards for partial support to primary and secondary school science competition and exhibitions. The grant per event should not exceed TZS 3 million;
- Category 2:** Awards for teachers who use innovative science tools and equipment in teaching science subjects in primary, ordinary and advanced level secondary schools. The awards may be as follows: TZS 500,000, TZS 300, 000 and TZS 200, 000 for 1st, 2nd and 3rd individual school winners, respectively; and
- Category 3:** Awards for best three ordinary and advanced level secondary school students in science subjects at the national level. Awards will include certificate of recognition and cash TZS 500,000, TZS 300, 000 and TZS 200,000 for 1st, 2nd and 3rd individual school winners, respectively or any other prize.

2.1.8 National Research Award in Science and Technology (NRAST)

The NRAST is awarded in the recognition and support of the high caliber scientific or technology development work carried out by Tanzanian scientist/technologist or institution who in the opinion of the nominating body, has made significant and outstanding contribution to advancement of S&T in the country. Consideration will be given particularly to proven achievements judged particularly from national and international point of view. This award will be given to any field of science that contributes to socio-economic development impact and changes in Tanzania. These include young scientist, female scientist and overall national research winner.

2.2 Procedures for Awarding Research Grants (Open and Commissioned Research)

2.2.1 Open competitive research call

The Commission will float competitive research Calls to address national research priorities. The Calls will depend on the modalities and agreements of funding sources such as Government, development partners, and other stakeholders. The grants are open to Tanzanians attached/working in Research or Higher Learning Institution (public and private institutions). In a bid to promote gender equity, female applicants will be encouraged to apply as per institutional gender policy. The research Calls shall entail submission of concept notes prior to development of full proposals. In some cases, the Call will invite submission of full proposals.

Once a call is issued, applicants shall be expected to submit a concept note within two weeks from the date of the advert. The screening process and external review of concept notes shall be done within a time frame of one month. Shortlisted applicants shall be given one month to develop a full proposal. The proposal review processes should be completed within two months. Pre-award assessment and contract signing shall be done within 45 days (depending on the number of applicants, the period might extend to maximum of 60 days if many proposals are selected). The applicant shall submit an inception report (**CRG 0**) showing clear plans; milestones and log framework (impact, outcome, outputs, risk and mitigation plan, Gant Chart) before signing the contract.

2.2.1.1 Submission of Concept Notes

Submission of concept notes shall be submitted online using COSTECH Research Grant Management System (CRGM) Form **CRG1**:

- i. PI's shall be required to declare that the same concept note submitted has never been funded by any other funding agency;
- ii. If it is reported or discovered that the same project has been funded by a different funder, the application shall be dropped;
- iii. Any concept which exceed 25 % contents as checked using plagiarism test software will be dropped;
- iv. The successfully concept notes will be published on COSTECH website and will be requested to submit full proposals. Applicants not appearing (not shortlisted) in the published list should consider themselves unsuccessful for this particular round; and
- v. The submission of concept notes shall be done in one month after the date of publishing the call. Any concept note submitted after the deadline shall be considered unsuccessful.

2.2.1.2 Screening of Concept Notes

The screening of concept notes shall be done within one week after the deadline of concept notes submission. An internal screening committee shall screen the received concept notes. Also, the screening committee shall undergo cross checking on whether it resembles or closely related to an already funded proposal by COSTECH or any other funder. Plagiarism software will be used to crosscheck the originality and authenticity of research idea. The screening committee will be appointed on the basis of the following procedures and criteria.

Procedures for Selecting Screening Committee Member:

- i. The Director of Research Coordination and Promotion (DRCP) shall propose members of the screening Committee. The Committee shall be endorsed by the COSTECH Management Committee;

- ii. The minimum number of the committee members shall be five and maximum of nine;
- iii. The DRCP shall ensure that the assigned screening committee members are well informed/ cognizant with the terms and conditions/ procedures of the review process; and
- iv. The screening committee is confined within a set time frame for that particular call and the responsibility will cease upon submission of the screening report to COSTECH management.

Criteria for Selecting Screening Committee Member:

- i. The committee member should have adequate time and knowledge to undertake the screening process;
- ii. The committee member should demonstrate objectivity, professional ethics and integrity; and
- iii. The selection should consider gender balance.

Terms of Reference (TORs) for Screening Committee:

- i. The committee will be required to select a chair, who shall lead the process and a rapporteur who shall be taking minutes;
- ii. The committee shall be required to go through concept notes and confirm if the submitted concept notes conform to the Call instructions (**CRG 5**);
- iii. The committee shall be required to prepare the screening process report and submit to the COSTECH management through Grants NFAST manager accompanied with lists of successful and unsuccessful concept notes; and

- iv. Each committee member shall be required to declare conflict of interest (**CRG 4**) and sign a confidentiality Form (**CRG 2**). Where a committee member declares conflict of interest, the member shall be required to leave the room when that application is being processed.

2.2.1.3 Criteria for Selection of External Reviewers for Concept Notes/Full Proposals

The concept notes shall be assigned to the external reviewers within two weeks after the screening. The checklist for these standards is included under **CRG6** form, and below are the standards for selection of external reviewers for both concept notes and full Proposals:

1. A reviewer should preferably hold a doctorate degree in the thematic/ specific themes identified in the call;
2. A reviewer should demonstrate practical experience of not less than five years in the area of research and has published in that area;
3. The reviewer should be an active researcher and have a good track record (publications and funding) in research of the subject matter;
4. A reviewer should have a wide knowledge and relevant expertise;
5. Conversant in the National Development Vision and Strategies;
6. A reviewer should be willing to spare time to undertake the assignment; and
7. A reviewer should be a person with good record of research ethics and integrity.

2.2.1.4 Review of Concept Note

The successfully screened concept notes shall be subjected to three different external reviewers for review as per guide

CRG8). The reviewers shall be required to fill the confidentiality form (**CRG4**) and conflict of interest form (**CRG7**) before the review process and return them back to COSTECH. The review of concept notes shall not exceed two weeks from the date when provided with the documents. After the submission of review report and selection of the successful applicants, the Commission secretariat should provide feedback to successful applicants to develop full proposal and non-successful applicants for future improvement.

The reviewer shall be given a maximum of one month to accomplish the task. In case, the reviewer is unable to accomplish the task within the defined time, the assignment will be revoked and assigned to another reviewer. Further, the previous reviewer will be directed to destroy the concept in the form of hard and soft copies.

2.2.1.5 Submission of Research Proposals

All research proposals should be submitted online through CRMS per guide **CRG 9** form and applicants are expected to adhere to all instructions provided in the application process. Each application shall be assigned a registration number and the applicant will be notified of acceptance. Items to be included in the proposal application are outlines below:

- a) **Name(s) and addresses of collaborator(s) and their role in the project :** Full name and address of the applicant(s) must be given;
- b) **Title of the Project:** The title should be scientifically valid and sufficiently descriptive to reflect the nature of the proposed work. The title of the project once approved cannot be changed or modified without the written consent of the Commission through the NFAST Committee;
- c) **Summary of the Project:** A summary of the proposed project will take into account the importance of the project,

the objectives, research type and design, methodology, expected outputs, result dissemination, the total budget required and duration;

- d) **Objectives of the project:** A clear statement of the general problem(s) or issue(s) at hand should be given. Specific objectives and targets must be clearly stated in order to facilitate monitoring and evaluation of the project;
- e) **Background and Literature Review:** The applicant must show the interrelationship of prior research in the field and the intended study. It should reflect a thorough survey of the existing state of knowledge and how the intended work is going to contribute to the advancement of knowledge about the problem to be solved or addressed;
- f) **Methodology (Project description, research design):** The researcher should clearly and thoroughly spell out the research plan for the project. The plan should identify and describe the different phases of the project. It should also indicate the proposed methods, analytical techniques and their appropriateness. This section should also describe the facilities and equipment to be used. It should also describe the study type and research design, place, population, sampling frame and methods where applicable;
- g) **Management Plan:** The applicant should provide a description of the project management and supervision plan and the role of the Principal Investigator (PI) and the research team;
- h) **Work schedule and division of tasks:** The details and rationale for manpower needs, work schedules, tasks to be accomplished and responsible persons for each task of the

project should be given here. GANTT¹ charts may be used for this purpose:

- i) **Anticipated Output and Utilization Plan:** Anticipated contribution to the specific problem(s) or issue(s) that are planned to be addressed by the research project should be described. These outputs must tally with the objectives spelt out. In this section, steps planned to be taken to utilize the anticipated research results should also be discussed:
- j) **Research Ethical Consideration:** Applications which would involve human participation or animal subjects should clearly state how they are planning to address ethical issues. Where possible, applications should be supported with ethical clearance from the appropriate bodies responsible for issuing such clearances:
- k) **Capacity Building:** Projects must describe how they will build human and institutional capacity as well as required physical infrastructure capacities for R&D and S&T developments in the country. This is a pre-condition for research grants in categories 2 to 4 in section 3.1 above:
- l) **Justification or rationale:** This section should clearly show the importance of the project and how the results of the research will reach the end users and would contribute towards bringing about potential socio- economic development. The possible policy implications and intervention strategies should be documented:

¹ The GANTT chart is a planning tool which depicts graphically the order in which various tasks must be completed and the duration of each activity.

- m) **Dissemination of Research Results:** Applicants should indicate where and in which form the results of the work may be disseminated. This must include plans for dissemination to specific end users including policy/decision makers and communities where data and research materials were collected;
- n) **Budget:** The grantee is responsible for the development of a detailed budget and budget justification. The estimated detailed budget for the research proposal should be itemized as indicated in form **CRG 10** to include such items as equipment, expendable supplies, travel, and casual labour. The grants are meant to cover direct costs for special equipment, expendable items and travel which cannot be provided by the host institutions. Whenever possible, the grantee's budget should include unit costs and quantity of units.

Applicants will be required to provide their own insurance cover as well as insurance of the research equipment acquired through the Fund. Where the applicant has applied for or obtained funds from some other sources, they should specify the name of the organization, the date of application/obtaining, the amount and its planned use;

- o) **Curriculum Vitae:** The CVs (maximum of 2 pages) of the entire team of researchers (as per **CRG 3**) must be submitted with the proposal; and
- p) **Supporting Documents:** Applicants shall submit support letters from their employers'/ attachment institutions and collaborating partners/ institutions where applicable. Each team member mentioned in the applications will also be required to submit a commitment letter.

Submitted proposals shall go through an in-house screening process to ensure that all proposals are complete and conform to the stipulated rules and regulations of the research grant before being sent to external reviewers. The screening process will be the same as applied in the CN.

2.2.2 Commissioned Research

The Commission shall receive a request from the Government as need arises to support the Commissioned Research. The Commission will be headhunting potential individual /institutions within Tanzania to submit full proposals. A maximum of 3 full proposals will be invited per research of interest (topic). The proposals will be subjected to review process as per guide, form **CRG12**. All Commissioned research applications shall be approved by the COSTECH Board of Commission through the NFAST Committee.

2.2.2.1 Review of Research Proposals (Open and Commissioned Research)

All successfully screened research proposals are subjected to a systematic external review processes for evaluation of scientific and technical merits. Generally, at least three scientific reviewers shall review each proposal. COSTECH will ensure that all intellectual property rights are upheld by the reviewers by requesting them to sign a confidentiality form (**CRG4**). Reviewers shall also be required to sign Conflict of Interest form (**CRG 5**). Thereafter, reviewers will be officially notified of the review criteria and they will receive a guideline (**CRG 11**) that clearly stipulates expectations from reviewers.

The proposals shall be assessed using the template for evaluation of open and commissioned research grants, **CRG 12 form**, in conjunction with the key areas of review as outline below:

- i. Relevance to the call;
- ii. Strength/ merit of the Principal Investigator and the research team members.
- iii. Evidence of Capacity building.;
- iv. Possibility of making impact to the Tanzanian society;
- v. Novelty and originality;
- vi. Scientific quality of the proposal; and
- vii. Feasibility of the proposed project.

A reviewer shall be given a maximum of 4 weeks to accomplish the task. If the reviewer is unable to accomplish the task within the defined time, the assignment will be revoked and assigned to another reviewer. Further, the previous reviewer will be directed to destroy the proposal in the form of hard and soft copies. The COSTECH secretariat will compile and forward the results to the NFAST Committee for consideration and recommendation to the Board of Commissioners for approval.

2.3 Selection of Fundable Proposals

The selection of the proposals will be guided by the reviewers' grades. There are three score grades i.e 100-70% (recommended fundable projects), 69-60% (fundable projects subject to revisions), and 59-0% (non -fundable projects).

The selection of the fundable proposals shall follow the following criteria:

- i. Number of required recommended fundable proposals that have scored above 70%;
- ii. If the number of eligible proposals (above 70%) has exceeded the required number of proposals (based on the existing budget), the ranking criteria will be done taking into consideration of those proposals which meet at least 50 % of the following criteria;

- a) Wide impact,
 - b) National interest,
 - c) Public demand,
 - d) Potential for up-scaling,
 - e) Potential for innovative products/processes, and
 - f) Potential to inform policies.
- iii. If the number of proposals with scores above 70% (recommended fundable proposals), is less than the required number of proposals for funding (based on the existing budget), consideration shall be extended to 69-60% (fundable projects);
- iv. If there are more than one proposal with the same scores at the lowest margin, then the proposals shall be selected based on the criteria (ii) above; and
- v. If all submitted proposals have scored less than 60%, the Call shall be re-floated.

2.4 Pre – award Assessment (Due diligence)

Once a proposal has been reviewed and approved for funding a pre award assessment (PAA) will be performed on the host institution before agreement execution and funding using **CRG 13** form. Pre-award assessment will be conducted within three weeks after approval by the Commission. The PAA report will be reviewed and the proposed actions shall be considered before funding. If the risk is very high, the project will not be worth funding unless appropriate interventions are proposed. It is important that the process is completed prior to signing of the contract. Key areas to be addressed in the pre-award assessment process include governance, HR, risk management, finance, procurement, and audit.

The purpose for PAA includes:

- i. Ascertaining whether the applicant's institution has the financial; organizational and technical capacity to manage disbursed funds;
- ii. Determining whether the commission will obtain value for money;
- iii. Establishing the legality of applicants in their respective institutions; and
- iv. Determining whether the institution has the required infrastructure to perform the proposed research.

A team for the pre-award assessment will involve NFAST Unit, Technical staff/Research Officer, procurement unit, Internal Audit and Legal Office. COSTECH may co-opt a third party member(s) or external stakeholder with expertise in the specific field to collaboratively perform such task.

All results of the pre-award assessment are documented on the Grantee's Assessment Form, and both the grantee and the assessor after completing the assessment must sign at the bottom. COSTECH retains the right to implement additional controls or requirements on grantees that are deemed high risk. All additional requirements will be communicated to the grantee in writing prior to their implementation. COSTECH also retains the right to remove these controls and requirements once the grantee displays improvement and increased capacity.

2.5 Awarding and contracting

Awarding and contract signing shall only be done on the basis of a satisfactory pre-award assessment report. The NFAST unit in collaboration with the legal unit will make arrangement for the mechanism to review and distribute the contracts to the beneficiaries. The contract agreement is shown as **(CRG 14)**

Form. The basis for contract signing shall consider the following:

- i. A contract agreement will be signed between COSTECH, Guarantor (head of host institution²) and the applicant. Issues of Intellectual Property Rights will be addressed in the contract;
- ii. The contract shall clearly stipulate disbursement modalities and use of funds;
- iii. Contract agreement signing shall be done within two weeks after pre-award assessment;
- iv. Failure to submit a signed contract within a period of two months after the pre award assessment shall lead to cancellation of the award;
- v. The cancelled award shall be substituted with another qualified fundable applicants through approval by the NFAST committee and the Board; and
- vi. PI shall declare any other fund support that received from other donor(s) to support the same project.

2.6 Disbursement and Use of Funds

Funds are disbursed through the applicant's host institution and the request for disbursement should bear an institutional emblem and seal. Funds for subsequent phases will be released within four weeks after receipt of a both SATISFACTORY financial and technical progress reports of the previous period and having met the agreement conditions as per the contract. Being public funds, the grants must be used for the purpose for which they are budgeted for and properly accounted for. In case the grantee cannot proceed with the work for whatever reason, the unspent funds must be returned to the COSTECH.

²*Government recognized institution*

An analysis of the project's actual costs should be given as per budget template **CRG 10**. The Commission shall not be bound to pay for the variance including extensions to the project without prior authorization.

As the process of making payment requires about two weeks after receipt of a signed and accurate advance request and any other necessary documentation, the advance requests should be submitted at least 14 days prior to the requested advance period in order to ensure timely payment.

The final disbursement will be fully done, upon submission of all pending reports (financial and technical); otherwise funds not fully expended will be offset till after receiving the reports. All disbursements should be subjected to satisfactory M&E reports.

Based on the above processes, call environments and nature of targeted applicants; the Commission may decide either to start the call from concept note (Table 1a) or directly from full proposal (Table 1 b). The total duration for the entire Call cycle (from Call launching to fund disbursement) shall take 40 weeks and 25 weeks, respectively.

Table 1 a: Timeframe for processing research Call (*starting from concept note*)

S/N	Task	Responsible section	Timeframe
1	Call for concept note	DRCP	4 weeks
2	Internal screening of concept notes	DRCP	2 Weeks
3	Assigning concept note to the reviewers	DRCP	2 Weeks
4	Review of concept note	Reviewers	4 weeks

5	Receiving review results and compilation	DRCP	2 Weeks
6	Sending feedback to applicants	DRCP	1 Week
7	Submission of full proposal	DRCP	4 weeks
8	Screening and assigning proposals to reviewers	DRCP	4 weeks
9	Review of proposals	Reviewers	4 Weeks
10	Compilation and reporting	DRCP	2 Weeks
11	Approval of fundable proposals	NFAST committee & Board	2 Weeks
12	Due diligence	NFAST	3 Weeks
13	Contracts signing and submission of inception report	DRCP	2 Weeks
14	Submission and review of inception/work plan	NFAST	2 Weeks
15	Fund disbursement	FAM	2 Weeks
	Total Duration		40 weeks

Table 1 b: Timeframe for processing research Call
(starting from Full proposal)

S/N	Task	Responsible section	Timeframe
7	Submission of full proposal	DRCP	4 weeks
8	Screening and assigning proposals to reviewers	DRCP	4 weeks
9	Review of proposals	Reviewers	4 Weeks
10	Compilation and reporting	DRCP	2 Weeks
11	Approval of fundable proposals	NFAST committee & Board	2 Weeks
12	Due diligence	NFAST	3 Weeks
13	Contracts signing and submission of inception report	DRCP	2 Weeks
14	Submission and review of inception/work plan	NFAST	2 Weeks
15	Fund disbursement	FAM	2 Weeks
	Total Duration		25 weeks

2.7 Project Monitoring, Evaluation, Learning and Reporting

Monitoring

Routine checking of information on progress is done to confirm whether progress is occurring against the defined direction. It commonly involves monthly to quarterly reporting, on outputs, activities and use of resources (e.g. people, time, money, and materials). It should be used to ensure that what has been planned is going forward as intended and within the resources allocated.

Evaluation

Evaluation is an assessment that refers to design, implementation and results of completed or on-going project / program / policy. Evaluation should be systematic and objective. Key criteria to be used are relevance, fulfillment of objectives, developmental efficiency, effectiveness, impact and sustainability.

Projects M&E Processes

COSTECH secretariat shall conduct M&E follow up of projects implementation as per the logical schematic diagram shown below. Briefly, soon after approval of the projects, the secretariat will conduct due diligence (pre award assessment) of the projects as per **section 2.4**. Before 1st installment disbursement, the grantees are required to submit an inception report and detailed work plan and agreed budget. All grantees are required to submit quarterly technical progress reports.

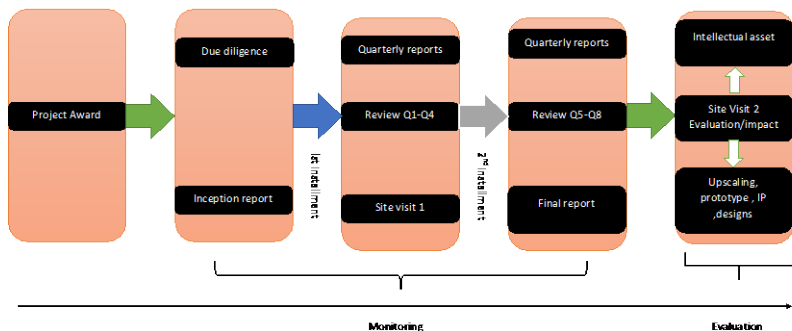


Figure 2: COSTECH projects M&E processes logical schematic diagram

The secretariat shall conduct a site visit as a means for verification of the progress made by the grantees after thorough review of the submitted progress information. Where necessary, the supervision visit shall involve experts from outside COSTECH to join the supervision team based on the nature of the project. Satisfactory progress reports and site visit information will be a very important basis of subsequent disbursements.

In collaboration with NFAST unit, an internal audit unit of the Commission may perform an audit to sampled supported projects particularly those of high risk (technical and financial). The NFAST unit shall conduct a quarterly/ biannual supportive supervision technical visit to the project host institutions (depending on the nature of the project) as part of onsite financial monitoring and evaluation of the project (technical³ and financial). The project information for M&E purpose should be filled in the M&E tool **CRG 17**. Consequently, the technical M&E report will be presented through **CRG 18** while financial M&E report will be filled in **CRG 19**. The reports of the grantee's work will reflect achievements of the objectives set and highlighting subsequent phases of the project and, where applicable, future plans. The contents of the report should contain:

- A descriptive analysis of the project activities conducted during the reporting period;
- A comparison of actual achievements with the goals and objectives established for such milestone/quarter;
- Reasons why established goals were not met, if applicable; and

³ *progress reports should provide detailed analysis including value for money*

- Other pertinent information, including an analysis and explanation of any cost overruns or high unit costs.

As per signed grant contract, monitoring of projects reflects on the provisions that:

- i. The Head of the project host institution will be responsible to oversee the implementation of the project;
- ii. All supported institutions shall be audited by the Controller Auditor General (CAG);
- iii. The Commission can request the institutional audited report from CAG;
- iv. The head of the project host institution will also ensure that the grant is properly managed;
- v. Financial and technical reports should be prepared and be submitted to the Commission in accordance with the work plan;
- vi. Grantees must furnish the Commission with reports (audited financial and technical) as per the contract;
 - a) Progress technical report should provide a brief description of the progress made so far in relation to the project schedule, achievements of the objectives set and highlight subsequent phases of the project and where applicable future plans,
 - b) The progress report should also outline the period covered from the start of the project, and the progress reports due date, and
 - c) The format for presentation of Progress Technical Reports is shown as Form **CRG 15** while one for Progress Certified Quarterly Expenditure Report (CQER) is shown as **CRG 16** Form.

- vii. All research grants document submitted by the grantees shall be handled according to the Commission's Standard Operating Procedure (SOP);
- viii. The reports submitted shall undergo internal review as part of project monitoring;
- ix. The monitoring team may recommend to the NFAST committee through COSTECH management to suspend the project upon being satisfied that there has been a violation of the Grant Contract and terms; and
- x. Any suspension of the project shall be approved by the Commission through the NFAST Committee.

2.8 Quarterly Technical Progress Reports

These are the quarterly technical progress reports of the grantee's work reflecting achievements of the objectives set and highlighting subsequent phases of the project and, where applicable, future plans. The contents of the report should contain:

- A descriptive analysis of the project activities conducted during the reporting period;
- A comparison of actual achievements with the goals and objectives established for such milestone/quarter;
- Reasons why established goals were not met, if applicable; and
- Other pertinent information, including an analysis and explanation of any cost overruns or high unit costs.

2.9 Quarterly Financial Expenditure Reports

The grantee must submit a Quarterly/Milestone Expenditure Report to document current and past expenditures and all payments from COSTECH. The expenditure report must be

signed by an authorized official of the grantee's organization and must conform to all specifications above.

As stated in the agreement document, grantees are required to submit quarterly financial expenditure reports. Off-cycle Expenditure Reports may be required as a special condition of the agreement or may be used when the grantee is seeking an off-cycle request for an advance of funds.

The template for financial reporting is provided as an appendix of the sub-award document and may be found in the Grantees Financial Package, provided by the grants management unit. The grantee must submit copies of payments supporting documents including receipts, invoices, reports and fund reconciliations (accompanied with the bank statement and the

Cash book covering the period reported).

2.10 Account Reconciliation and Final Financial Reporting

Any fund paid to the grantee in excess of the amount to which the grantee is entitled, as determined by the financial reporting, allowable expenses, and successful project completion; must be returned to COSTECH. If this balance is not refunded within a reasonable time period after the award end date, COSTECH retains the right to recover the amount owed using the following procedures:

- i. Deducting the amount owed from any remaining requests for reimbursement from the grantee;
- ii. Withholding the amount from any advance requests that the grantee has pending; and
- iii. Seeking legal remedy to the extent permissible by local law.

2.11 Reimbursements

Some grantees are funded under a cost-reimbursement method rather than a cash-advance method. For payment by reimbursement, the grantees must submit a signed invoice for grantee's expenses for the previous months/ period, including supporting documentation for all invoiced expenditures.

2.12 No Cost Extensions

In case the project is not completed in the specified period of time, the following actions shall be taken:

- i. The PI, through the accounting officer of the host institution, shall be required to submit a letter to the Commission requesting for extension of the project;
- ii. The letter shall be co-signed by ALL co-researchers;
- iii. The letter should be submitted well in advance not less than three months prior to the expiry of the contract in force;
- iv. The Commission through NFAST committee reserves the rights to accept or reject the request;
- v. The approved request of extension shall be regarded to as a NO-COST EXTENSION;
- vi. Requests for extension must specify reasons for the extension, amount of the remaining funds; the estimated period required to complete the project and detailed work plan;
- vii. The extension period shall not exceed the period of six months after approval;
- viii. In a situation where the project activities do not end in the first approved extension period, the project shall be awarded a second extension if the PI strongly justifies the reasons for extension. No further extension shall be granted after the second extension; and

- ix. If the PI fails to complete the project after the granted extensions, the host institution shall be required to refund the entire amount disbursed for the project.

2.13 Budget Redirection

A grantee may redirect up to 10% from one line to the other provided the change is authorized within the approved scope of work, and the overall budget does not overrun. For over 10% reallocation, official approval must be granted. To request for budget reallocation the grantee must send a request to the NFAST Manager with a revised budget and justification for the proposed changes. The approval letter will be sent to the grantee as soon as this is approved. All future financial reports and advance requests should be based upon the revised budget.

2.14 Termination of Contract

A contract can be terminated before completion of the project under the following conditions:

- i. The Principal Investigator is not available and the host institution cannot provide a substitute;
- ii. Circumstances where the project does not indicate value for money;
- iii. Misuse of resources (funding and equipment) outside of the agreed framework as per the inception report and proposal;
- iv. Failure to comply with terms and conditions stated in the grant contract;
- v. If it is reported or discovered that the same project objectives have been funded by a different funder, the contract shall be terminated and the host institution shall be required to refund the entire project costs; and

- vi. Any revocation of a grant will be notified by official letter to the host institution and becomes effective as of that date as per Commissions' directives.

2.15 Withdrawal of Research Personnel

If the Principal Investigator (PI) withdraws, the Head of the project, host institution shall propose a new PI for approval by the NFAST committee. The Commission will be notified afterwards. If a researcher other than the PI withdraws, the remaining researchers will have to decide on whether or not to co-opt a replacement and thereafter, COSTECH will be notified accordingly.

2.16 Dissemination of Research Findings

Upon successful completion of the research project, the researcher in collaboration with the project host institution will be obliged to effectively disseminate the results to the target group directly or through relevant bodies and authorities. In addition to that the researcher will be required to produce a policy/ project brief and at least one publication in a recognized journal. Researchers must acknowledge the support received from COSTECH in all publications, presentations and other knowledge products originating from the funded project.

The Commission may also use its various strategies to disseminate the results, such as policy briefs, publications, press release, presentations at seminars, workshops, conferences, public lectures, symposia, exhibitions etc.

2.17 Project Closeout

2.17.1 Project Closeout Notification

The project grantees will be officially notified on expiring date of the project contract six months prior the closing date. The grantees will also be reminded three months prior the closing date.

2.17.2 Final Closeout Reports Submission Timeline

At the end of the project grantees are required to submit within two months project completion reports. This submission⁴ shall include both the final technical⁵ report and financial expenditure report using templates for Final Technical Report Form (**CRG 20**) and Financial Expenditure Report form (**CRG 21**). The submissions will be subjected to rigorous internal review for assurance of quality control⁶. The reports will be posted to COSTECH website for general public consumption. The reports should be detailed as explained below.

2.17.3 Final Technical Report

For an error-free final technical report, the detailed format and information regarding the report are found in **CRG 20**. Briefly, the report shall consist of following:

- i Preliminaries (Acknowledgment, Abbreviations, table of content, synopsis); and
- ii Body of the report with **CHAPTER ONE**-introduction, background and *state of the art* including review of recent literature; **CHAPTER TWO**- detailed research methodology and designs; **CHAPTER THREE**-description of key result achieved findings, analysis and discussion; **CHAPTER FOUR**-description of (or potential) impacts of the project, conclusion, recommendations and any possible up-scaling; and **CHAPTER FIVE**-Policy recommendations, future collaborations and partnerships.

Note

⁴3 hard bound copies and soft copy (PDF)

⁵The report should range between 75 to 120 pages (A4, double space, and 12 New Romans)

⁶The review comments will be communicated to the PI prior the submission of final error-free report

Any IPR disclosure should be dealt with separately based on the existing IPR policy.

2.17.4 Final Financial Expenditure Report

The Final Financial Expenditure report should include:

- i. The final Certified Expenditure Report template that is shown under **CRG 21** for ease of reference;
- ii. Projects acquired facilities and physical assets disposal plan in accordance with the government regulations and procedures;
- iii. Copies of payments supporting documents including receipts, invoices, reports;
- iv. Fund reconciliations (accompanied with the bank statement and the cash book covering the period reported); and
- v. Asset register for the project and assets funded by the program.

2.17.5 Late submission of Project Closeout Reports

All applicable closeout reports are due no later than 2 months after the project end date.

Failure to submit timely and accurate final reports may affect future funding to the organization and/or awards with the same PI and affiliated institution.

2.17.6 Return of unspent funds

Unspent funds must be returned to COSTECH through the NFAST account. The bank account details will be communicated during the closeout notification.

2.17.7 Misuse of Research fund

In the circumstance whereby the project did not indicate the value for money for the agreed specific project objectives and milestones, the Grantor (COSTECH) reserves the right to demand the grantee through the guarantor to return the misused funds.

3. PART B: INNOVATION GRANTS GUIDELINES

3.1 Introduction

This part of the manual provides guidelines for helping achieve uniformity, quality, effectiveness, and efficiency of operations for COSTECH Innovation Fund. The Fund is divided into two parts namely: innovation grant; and innovation support programs grant. The manual ensures that the grantees' operations are in compliance with all relevant rules and policies of COSTECH and all applicable laws and regulations of the funding agencies and the United Republic of Tanzania. Innovation processes, structures and platforms are an essential part of technology transfer, and are necessary to ensure that the achievements in science and technology are fully implemented to benefit the society in Tanzania.

The innovation Fund may be given in full or in collaboration with other agencies. This part is intended to inform the potential grantees as well as the general public on the existence of the Innovation Fund, its accessibility, and processes used in reaching a funding decision.

The Innovation Fund is granted in two categories:

- i. Competitive Approach; and
- ii. Non-Competitive Approach.

Competitive Approach denotes funding granted through issuing calls for innovation proposal, while Non - Competitive is granted to walk in innovators; requests from innovation centers; as well as to winners of various organized competitions of Innovators.

The innovation fund grant will support innovative products, processes, services, organizational, marketing and business models as detailed below:

- i. **Product/Service:** Good or service that is entirely new or has significantly improved characteristics or uses;
- ii. **Process:** New or significantly improved method of production or delivery of a Service;
- iii. **Organizational:** New method of organizing business practices, the workplace, or relations with outside organizations;
- iv. **Marketing:** New developments in the design or packaging of products, the channels for distribution, promotion or pricing; and
- v. **Business Model:** A new way of doing business.

3.1.1 Innovation Grant

For the purpose of this manual, Innovation Grant shall mean support to innovation/invention from R&D and grassroots innovators.

Innovation grant will support technologies from proof of concept stage through technology development to commercialization. The three key stages of innovation value chain are:

a) **Prototype Development:**

At this stage an innovator aims to advance research and technological outputs to develop prototypes, establish proof of concept and validate business cases.

The fundable activities under this stage are:

- i Development of minimal viable solution;
- ii Protecting Intellectual Property (IP;)
- iii User acceptance test; and
- iv Validation of Idea/Primary market research.

b) Technology Development

At this stage an innovator aims to advance technologies along the innovation value chain, from proof of concept/prototype to technology demonstration. The focus is on the activities that will make early stage technology development more attractive and reduce market risk.

The fundable activities under this stage are:

- i. Development of the final solution;
- ii. Demonstration and piloting solution;
- iii. Support for certification activities; and
- iv. Protection Intellectual Property (IP).

c) Commercialization

This stage involves market testing and validation. The purpose is to connect technology innovators to onward business and investment opportunities.

The fundable activities under this stage are:

- i. Acquiring required approved certification and licenses;
- ii. Business Plan development;
- iii. Promotion and marketing activities;
- iv. Up scaling;
- v. Contract management; and
- vi. IP management.

3.1.2 Innovation Support Programs Grant

For the purpose of this manual, Innovation Support Program Grant shall mean support to programs/activities from or implemented by technology and innovation centres; which include:

- i Innovation space (innovation hub and maker space);
- ii Incubation Centre;
- iii Innovation cluster;
- iv Technology Transfer Office;
- v Technology Stations; and
- vi Technology Park.

The Innovation will support programs grant will support, but not limited to, the below outlined programs/activities:

- i. **Pre-incubation:** This target individuals or teams who are interested in entrepreneurship and have a business idea, but need support investigating the viability of the idea and building it into a business;
- ii. **Incubation:** This target young businesses who either are in the process of setting up a company or already have one, but need support in growing the business, scaling up the products and services and managing the company in a professional and efficient manner;
- iii. **Acceleration:** This target businesses that have already established products and clients, but need support in achieving significant growth or in reaching regional and international markets;
- iv. **Hub Programs:** This target students or other individuals who are interested in entrepreneurship and innovation, but need support to achieve necessary skills, networks or business idea to get started;

- v. **Living Lab programs:** This target grassroots communities and innovators who are interested in new ways of self-employment and entrepreneurship, but need support in understanding the fundamentals of problem solving, innovation and entrepreneurship to get started and to be successful;
- vi. **Innovation and Entrepreneurship related events –** This target any of the above target groups. These events may include business plan or business idea competitions, pitching competitions, hackathons, networking and matchmaking events or other events aiming to create interest and awareness towards innovation and entrepreneurship, to educate and inspire or to support linking entrepreneurs, funders, support organizations to each other; and
- vii. **Spinoff companies/ enterprises**
A university spin-off enterprise is a new company that has its roots in a research laboratory with the aim of commercially promoting research results (technology). In order to do this the spin-off company is in principle linked to the university by way of a license contract which sets out the conditions for transfer of the technology from the laboratory to the company.

3.2 Operational Procedures for Competitive Innovation Fund

3.2.1 Eligibility

a) Innovation Grants

The fund will target innovators, SMEs, researchers and collaborations (research and entrepreneurs) around an innovation that they wish to develop and market. In the

context of Tanzania, according to the SMEs Policy of 2003, SMEs cover non-farm economic activities mainly manufacturing, mining, commerce and services.

Grant applications should fall within the set priority/thematic areas as outlined in the call, which will change from time to time. Eligibility criteria for applying for innovation grant are:

- i An applicant can be a Tanzanian individual or a registered entity or be contractually linked to a legal entity that is responsible for managing the grant, for ensuring a smooth follow-up and lower risk of the grantees. In case of an individual innovator or a team without a legal entity link, COSTECH shall, where necessary, support them in finding one;
- ii An innovation must be aimed at developing or significantly improving innovative solutions (product, process or service) that have a strong market/service delivery potential and of significant reach and benefit in society; and
- iii A recipient of innovation grant may apply for another grant after successful completion of his/her project.

b) Innovation Support Programs Grant

This fund will target the technology and innovation centre as listed in section 3.1.2. Grant applications should fall within the set priority/thematic areas as outlined in the call which will change from time to time. Eligibility criteria for applying for innovation support programs grant are:

- i The applicant should be a registered technology and innovation centre or relevant institutions;

- ii The applicant must give evidence of innovators that are beneficiaries of the applied program;
- iii The applicants particularly associated to Government Universities/R&D must give evidence of its relevancy and compliance to the institution setup and major roles of the host;
- iv The applied programs must show relevance to the activities including but not limited to business plan or business idea development, pitching competitions, hackathons, boot camps, networking and matchmaking events or other events aiming to create interest and awareness towards innovation and entrepreneurship, to educate and inspire or to support linking entrepreneurs, funders, support organizations to each other; and
- v A recipient of innovation support program grant may apply for another grant after successful completion of his/her project.

3.2.2 Call Process

The submission and the approval process consist of the following steps:

- STEP 1: Call for application
- STEP 2: Screening of applications
- STEP 3: Review of applications
- STEP 4: Project pitching
- STEP 5: Final Selection/Approval
- STEP 6: Due diligence (Pre award assessment)
- STEP 7: Pre award training and Revision of Work plans
- STEP 8: Contracting
- STEP 9: Fund disbursement

3.2.3 Submission of Applications

For the application of innovation grant, individual applicants shall submit Form **CIG 1** while institutional/organizational and legal entity applicants shall submit **CIG 2**.

For the application of innovation support program grant, applicants shall submit Form **CIG (H) 1**.

3.2.4 Internal Screening Committee

An internal screening committee shall be appointed to perform in-house screening of the proposals and the TORs shall be communicated to the committee and its members shall declare any conflict interest. The guidelines for the screening of proposals is as shown in

Form CIG 4 for the innovation grants and Form CIG (H) 4 for innovation support program grant. The procedures of selecting the screening committee are as follows:

- i. Members of the Screening Committee shall be approved by the Director General, with at least 5 people including NFAST Grants Manager; CDTT Technical Officer. The NFAST Grants Manager will participate and play secretarial role and the Chairperson for the committee shall be selected from among the members; and
- ii. The Screening Committee reports for the selection shall be presented and used by COSTECH to inform decision making for next steps and further be filed to grantees correspondence files.

3.2.5 Registration of Applications

Once the (innovation grant/innovation hub support grant) application has been received, COSTECH's secretariat will register it and award it a Registration Number (Reg-No). If the proposal does not fulfill the required eligibility criteria, the applicant will be notified accordingly.

3.2.6 Screening of Innovation Grants/Innovation Hub Support Program Grant Applications

The screening and judging process will proceed through the following stages:

a) Check on the eligibility criteria

All applications will undergo a check on the eligibility criteria. If an application does not meet all of the threshold eligibility criteria it will be rejected. This will be done by internal screening committee.

b) Review Panel

Applications that meet the eligibility criteria will be subjected to panel review process. In the panel the applications will be evaluated and ranked using the criteria shown in the **Form CIG 5** for innovation grant and **Form CIG (H) 5** for innovation hub support grant. The panel will score each application according to set of evaluation criteria. Based on the scores, the panel shall shortlist applications and rank the shortlisted applications, which will be subjected to further processes of the granting procedures.

c) Principles of Review Panel

The review panel will play an independent process heavily subject to professionalism and trust of the panelist. Failure on part of the panelist to adhere to the highest standards of professionalism could impact negatively on scientific development as well as on innovator's professional and personal life. The composition of the panel should include both private and government representation in a fair proportion. It is therefore important that reviewers observe

principles of integrity, confidentiality, equity, and they should be free from any vested interests. In addition,

i. **Integrity**

The reviewer is expected to observe principles of integrity; this includes honesty, professionalism, courtesy and fairness, objectivity, impartiality and independence.

ii. **Confidentiality**

The reviewer should not disclose the information in the application that she/he is reviewing; including all matters pertaining to the grading, comments and feedback from the reviewed proposal to any person/institution other than COSTECH.

iii. **Gender equity**

The reviewer should be conscious of her/his personal gender stereotypes that might affect the review process and manage it accordingly. This means that applications are evaluated based on their merits using the provided criteria.

iv. **Conflict of interests**

In the event that reviewer's personal affiliation to an institution, innovator's team, funding agency, are likely to affect the review process, she/he is obliged to declare any conflict of interest.

v. **Deliverables and timeline**

The reviewer is expected to review the application and provide feedback. Each panelist is expected to submit the following documents:

- i. A signed conflict of interest form before commence review (use form **CIG 6**);
- ii. A signed Confidentiality statement (use **CIG 7**); and

- iii. A filled assessment criteria form with recommendation.

3.2.7 Pre-pitching workshop (Boot camp)

The pre-selected applicants will attend a pre-pitching workshop, whereby they will improve their submission before they present their proposals to the judges.

3.2.8 Pitching process

The selected applicants will be required to pitch their ideas to the selection committee or a special panel of judges as part of the final selection process. Panelists of both review panel and pitching process should sign disclosure agreements form and comply with conflict of interest policy.

3.2.9 Pre-awarding assessment

Once an application has been reviewed and approved for funding, a pre-award assessment or due diligence will be performed on the host institution before agreement execution and funding is finalized. It should be noted that all funds will be disbursed through Host institution. A host institution can be any legal entity either private or public. The track record of the recipient will also be conducted in case of medium enterprises. The objective is to conduct a physical verification and identify the capacity gap and risks of the Host Institution and potential grantee in the key areas such as legal status, technical capacity and internal control.

Approach used is mainly physical visits using simple tools including checklist questions focusing on verification of eligibility criteria, direct observation and reference check (previous funders, if any). Typically, the NFAST Grants Management Representative conducts the assessment, and might

be accompanied by other members including relevant members from COSTECH.

All results of the pre-award assessment are documented on the Grantee's Assessment Form (**CIG8**) and both the grantee and the assessor's members who have completed the assessment must sign at the bottom. COSTECH retains the right to implement additional controls or requirements on grantees that are deemed high risk. All additional requirements will be communicated to the grantee in writing prior to their implementation. COSTECH also retains the right to remove these controls and requirements once the grantee displays improvement and increased capacity.

3.2.10 Announcement and awarding

COSTECH will make an official and public announcement of winners who passed the pre-award compliance check. This event will be used strategically to promote the innovation fund by targeting not only potential grantees but also strategic media (print, electronic, social media), potential applicants, general public, private sector relevant to the winners' innovation and strategic actors per innovation. This can be done through a press conference or an event announcement.

3.3 Post Award Management

3.3.1 Initial training

This session is conducted just before or at the initial process of awarding the funds and it targets the winners as compliance check. It is mainly a tailored training towards the needs of grantees but it also aims at enhancing general knowledge and skills on innovation management, identifying in-depth needs for mentorship attachment and providing a connecting platform for grantees for future collaboration and capacity support. Other key contents for these training sessions include but not limited to

innovation cycle, business idea development and validation, innovation progress reporting, financial management, procurement, project management and Monitoring, Evaluation and Learning.

During this training the project plans, budgets and impact process will be consolidated and agreed upon. Participants of the training include members from each winner organization/entity (such as the leader, technical person and finance personnel) and assigned mentors.

The initial training will cover:

- i. The roles and responsibilities of the NFAST Grants Management Unit; ii. The terms and conditions of the agreement (review of the document);
- iii. The content of these NFAST Grantees Guidelines;
- iv. The NFAST process for sub-award advances and payments (including provision of the Advance Request Form and Quarterly/Monthly Expenditure Report, linkage to technical reporting and off-cycle requests);
- v. Standards for financial management of donors/ government funds;
- vi. Compliance with the government and other donors' regulations, as applicable to the sub-award ;
- vii. Eligible and ineligible expenses
- viii. Restricted expenses (equipment, vehicles, travel, sub-awards, consultants, renovations);
- ix. Assets and property tracking ;
- x. Effort reporting;
- xi. Grant Monitoring site visits (scheduling, what to expect);

- xii. Impact process and developing indicators to measure impact;
- xiii. Financial and technical reporting requirements (including Inventory Logs);
- xiv. The grant contract renewal process;
- xv. The grant contract amendment process; and
- xvi. Audits.

3.3.2 Additional Training

During the course of the award implementation, NFAST Grants Management Unit in collaboration with the funder may determine through its monitoring mechanisms that additional training is required either for an individual grantee or a group of grantees. COSTECH will ensure that a training program to address the grantee's needs is implemented in a timely way.

3.4 The Innovation Grant Agreement signing

Once a grant application is successful the applicant will be notified accordingly and required to sign a contract, before the funds are released. The signing of the contract is simply to ensure that the grantee will abide by the rules and regulations governing the grant; as well as the grantor will fulfill the required terms under the contract that manage the grant. The procedures for signing the grant agreement are:

- i. The agreement shall be between COSTECH, the Host institution as a legal entity (Government institution, company, business name), and the guarantor where possible. The contract agreement is shown as **Form CIG 9**;
- ii. The contract shall clearly stipulate disbursement modalities and use of funds;

- iii. Contract agreement signing shall be done within two weeks after pre-award training;
- iv. Failure to submit a signed contract within a period of two months shall lead to cancellation of the award; and
- v. The cancelled award shall be substituted with another qualified fundable proposal upon approval by the NFAST committee and the Commission.

3.5 Termination of Grant Agreement

A contract can be terminated before completion of the project under the following conditions:

- i. Circumstances where the project does not indicate value for money after M&E report;
- ii. Misuse of resources (funding and equipment) outside of the agreed framework as per the work plan;
- iii. Failure to comply with terms and conditions stated in the grant contract; and
- iv. If it is reported or discovered that the same innovation has ever been funded by a different funder, the contract shall be terminated and the host institution shall be required to refund the entire project costs.

3.6 Mentorship and Coaching

Mentoring is a program aimed at supporting and encouraging innovators (winners of awards) to manage their own learning in order that they may maximize their potential, develop their skills, improve their innovations and realize their dreams. In this context mentoring includes training, support, encouragement, advice, and guidance from people who have both 'done it before' and - if possible - independent of the mentor's current project or organization. The process allows

mentors and mentees to make useful networking connections, and have access to role models.

COSTECH will identify mentors from the relevant organizations including industries, and will aim to match grant awardees with mentors where necessary. Mentors will be engaged formally and COSTECH will cover for their travel and some allowance where necessary under the agreed ToR Form (**CIG 10**). The Mentor will also be required to sign a Non- Disclosure /Confidentiality Agreements forms.

3.6.1 Progress Reports

The grantee is required to submit progress technical reports as per Form **CIG 11** and financial technical report as per **Form CIG 12**. This progress report will be the basis for the MEL.

3.6.2 Technical Monitoring, Evaluation & Learning

The Commission shall visit innovation grantees for an onsite monitoring of the project. Monitoring Evaluation and Learning of the innovation grant will be guided by Form **CIG 15**. The monitoring team may suspend the project upon being satisfied that there has been a breach of the Grant Contract, pending further communication from the Commission. This team monitors the innovator's progress in implementing the project in accordance with the grant contract; quality monitoring is done mainly against project work plan and against indicators provided in the log-frame.

The main objectives of project monitoring are to:

- i Verify purposeful utilization of funds and compliance with the financial and nonfinancial terms of the Grant Agreement, thus ensuring “best value for the money”;

- ii Implement measures that will ensure that the funds received through the Grant Agreement are utilized efficiently, correctly and in accordance with principles of sound financial management, including the principle of transparency;
- iii Implement measures that allows and directs the project implementation per the agreed work plan;
- iv Verify pre-determined indicators for societal impact performance;
- v Ensure regular feedback to the grantee and other implementing parties;
- vi Measure the grantee performance: To determine whether the progress to date shows any areas of concern, thus enabling the Monitoring Team to propose a corrective action which will ensure the safeguarding of the funds;
- vii Provide accountability and oversight: Establish and apply the necessary measures, when applicable, to prevent fraud or other irregularities to protect the financial interests of the donor;
- viii Ensure proper spending;
- ix Visit programs that may need assistance;
- x Identify opportunities for improvement;
- xi Serve the needs of the sub-grantees;
- xii Provide a helpful environment; and;
- xiii Ensure effective implementation of Mentorship and Coaching program (if relevant).

Grant Monitoring shall be accomplished through the following methods:

- Technical Assistance;
- Desk Review;
- On-site and Assessment Visits;
- Regular Communications; and
- Mentorship and Coaching Program (if applicable).

3.6.3 Technical Visits

The COSTECH relevant grantee Technical Advisor will make arrangements with the grantees to conduct program site visits several times per year. Form **CIG 15** will be used to cater for this.

The purpose of technical visits is to:

- a. Monitor the program performance of the grantees;
- b. Provide technical assistance to the grantees;
- c. Ensure grantee conformance with the terms, conditions, and specifications of the SOW and of the award; and
- d. Document COSTECH's fulfillment of its oversight responsibilities.

The site visit will be documented by the completion of a technical site visit report. The grantee should receive a copy of the report for the files.

3.6.4 Grants Financial Monitoring

Financial monitoring - the grant beneficiary's financial compliance with objectives and budget established in the Grant Agreement; financial utilization in accordance with agreed utilization dynamics.

a) Financial Visits

The NFAST Grants management unit will make site visits to the grantee no less frequently than quarterly. The schedule of site visits should be planned with the grantee ahead of time. The Site Monitoring template attached under the form **CIG 16** will be used during the visit.

The purpose of financial site visits is to:

- i Ensure grantees conformance with the terms, conditions, and specifications of the award;

- ii Ensure grantees conformance with applicable COSTECH and funders regulations and requirements for procurement and financial activity;
- iii Provide financial, administrative, and other assistance to the grantees;
- iv Monitor grantees performance and, in the case of special conditions applied to mitigate risks associated with the award, monitor progress made in reducing the risks;
- v Review financial records such as back-up documentation for financial reports (e.g., receipts, bids), as necessary;
- vi Review time and effort-reporting procedures and records;
- vii Review the Inventory Log in comparison to existing equipment;
- viii Check files, receipts, and documentation for adequate data retention and compliance with records management policies; and
- ix Document COSTECH's fulfillment of its oversight responsibilities. The site visit will be documented by the completion of a Financial Site Visit Report. The grantee should receive a copy of the report for the files.

b) Internal Review prior to Site Monitoring (SM) Visit

Prior to the SM visit, the visiting staff will review materials submitted by the grantee to the NFAST grants management office. The following is a list of items to be included in the review process, as well as questions to assist the visiting staff in their analysis of the materials:

- i. **Program's file:** Funding application; performance reports; correspondence & previous site monitoring report including:
 - Are there any clarifications that need to be made? If so, what?
 - Are more details needed? If so, what?
 - Any "red flags"?
 - Any difficulties the project is encountering?
 - Weaknesses of the project?
 - Strengths of the project?
 - Compliance with certified assurances issues?
 - Are timelines being met?
- i. **Program's fiscal information:** Overall budget, reimbursement claims, any budget revision requests, any key purchases with grant funds or matching funds, and audit review summary will be prepared by Division Accountant. This includes;
 - Are there any clarifications that need to be made? If so, what?
 - Are more details needed? If so, what?
 - Any "red flags"?
 - Are timelines being met?
- ii. Ask the NFAST accountant and Grants Manager about any concerns;
- iii. Obtain the Program's Financial Status Report from the NFAST Grant Management unit; and
- iv. Review Pre-Site Monitoring Tool completed by program prior to SM visit.

After reviewing the above items and considerations, the visiting staff will create a list of questions and concerns for the SM visit utilizing the checklist. It may be helpful for the visiting staff to

organize items in the order for individuals to be interviewed at the SM Visit. (For example, fiscal questions for the Accountant, PI and Co-PIs, statistical questions for the statistical person on staff, etc.)

3.7 Ownership of Intellectual Property Rights

Where any form of IPR may be obtained through innovation process funded by the Innovation grant, the ownership will be administered according to the National or /and Project Host Institutions IPR policies, regulations or upon formulated guidelines mutually agreed upon by the Grantee and COSTECH. However, COSTECH should be acknowledged for provision of the grant.

3.8 Disbursement of Funds

The funds are disbursed through the legal entity (Host institution). For institutions, the funds should appear in institutional or organization budget and financial accounts. Being public funds, the grants must be used for the purpose for which they are budgeted and properly accounted. In case the grantee cannot proceed with the work for whatever reason, the unspent funds must be returned to COSTECH in a proper manner, mutually agreed upon by the Commission and Grantee, with appropriate communication.

Grants will be disbursed in several installments linked to performance on agreed milestones and on reporting them on quarterly basis. For next disbursement to be affected, a report of the activities funded by the previous disbursement should be submitted.

As the process of making payment requires about two weeks after receipt of a signed and accurate advance request and any

other necessary documentation, the advance requests should be submitted at least 14 days prior to the requested advance period in order to ensure timely payment.

The final disbursement will be fully done, upon submission of all pending reports (financial and technical), otherwise funds not fully expended will be offset till after receiving the reports.

From the above processes, the total duration for supporting innovation through competitive call is seven (7) months as summarized in table 2.

Table 2: Timeframe for processing innovation call

S/N	Task	Responsible Person/Directorate	Timeframe
1	Call for application	DCDTT	4 weeks
2	Screening of Applications	DCDTT	2 Weeks
3	Orientation of Reviewers	DCDTT	1 Week
4	Review of Applications	Reviewers	8 weeks
5	Project Pitching	DCDTT	3 Weeks
6	Final Selection/Approval	NFAST & Commission	1 Week
7	Due diligence (Pre award assessment)	NFAST	3 Weeks
8	Pre award Training and Revise Work plans	DCDTT	1 Week
9	Contracting	NFAST & LSM	2 Weeks
10	Fund disbursement	NFAST & FAM	3 Weeks
	Total Duration		28 Weeks

3.9 Non –Competitive Innovation Grants

These will be treated as per the National Guidelines for the Identification and Promotion of Inventions, Innovations and Traditional Knowledge Practices including

- i. Innovators submitting an innovation support request through the non-competitive window shall receive response within two weeks after submission of the request;
- ii. If the application is successful, the innovation shall be subjected to pitching process and then follow the innovation support cycle as described in section 3.1.1.; and
- iii. All innovation requests submitted through the non-competitive window shall be given support in a cycle of six months, that is, twice a year.

3.10 No Cost Extensions

In case the project is not completed in specified period of time, the following needs to be done:

- i. The PI, through the accounting officer of the host institution, shall be required to submit a letter to the Commission requesting for extension of the project;
- ii. The letter shall be co-signed by ALL co-researchers;
- iii. The letter should be submitted well in advance not less than three months prior to the expiry of the contract in force;
- iv. The Commission through NFAST committee reserves the rights to accept or reject the request;
- v. The approved request of extension shall be regarded to as a NO-COST EXTENSION. Requests for extension must specify reasons for the extension, amount of the

- remaining funds; the estimated period required to complete the project;
- vi. The extension period shall not exceed the period of six months;
 - vii. In situation where the project activities do not end in the first approved extension period; the project shall be awarded a second extension if the PI strongly justifies the reasons for extension. No further extension shall be granted after the second extension; and
 - viii. If the PI fails to complete the project after the granted extensions the host institution shall be required to refund the entire amount disbursed for the project.

3.11 Project Closeout

3.11.1 Project Closeout Notification

The project grantees shall be officially notified on expiring date of the project contract three months prior the closing date. The grantee will also be reminded one month prior the closing date.

At the end of the project grantees are required to submit within one month project completion reports. This submission⁷ shall include both the final technical⁸ report and financial expenditure report using templates for Final Technical Report Form (**CIG 15**) and for Financial Expenditure Report form (**CIG 16**). The submissions will be subjected to rigorous internal review for assurance of quality control.

3.11.2 Late submission of Project Closeout Reports

All applicable closeout reports are due no later than 1 month after the project end date.

⁷3 hard bound copies and soft copy (PDF)

⁸The report should range between 75 to 120 pages (A4, double space, and 12 New Romans)

Failure to submit timely and accurate final reports may affect future funding to the organization and/or awards with the same innovator and affiliated institution.

3.11.3 Return of unspent funds.

Unspent funds must be returned to COSTECH through the NFAST account. The bank account details will be communicated during the closeout notification.

3.11.4 Misuse of Innovation fund

In the circumstance where the project did not indicate the value for money for the agreed specific project objectives and milestones, the Grantor (COSTECH) reserves the right to demand the grantee through the guarantor to return the misused funds.

3.12 Other Types of Innovation Support Programme Grants

3.12.1 Commissioned Innovation Grants

The Commission through its R&D Advisory Committee may commission innovation activities to individual institutions in order to solve specific problems of national interest. This includes;

- i. Establishing or organizing an open innovation event/hub/lab to foster user centered innovations and to enable people to explore / test and ideate new solutions to existing needs without requirement of specific educational or professional backgrounds; and
- ii. It could also be made available (when considered relevant) to seek funding for national innovation programs (incubation, open innovation).

The award value of the grant awarded depends on the nature of the project.

3.12.2 Support innovation and entrepreneurship programs to R&D and Higher Learning Institutions (HLIs)

One of the key roles of the Commission is to build capacity of R&D institutions in innovation and entrepreneurship programs. The focus of this grant category is to support development of facilities and human resources for innovation and entrepreneurship programs. R&Ds and HLIs may apply for innovation grants to support development of innovation and entrepreneurship programs and activities, targeting both students and staff.

3.12.2.1 Submission of Application

Applications for a grant to support R&D and STI institutions will be received throughout the year. The procedures are as follows:

- i. Grant applications are submitted using Form CSRDG1. Three copies of the grant application must be submitted on A4 size sheets, font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section 3.4.; and
- ii. Applicants will be notified of receipt of their applications within two weeks of receipt of the application at the commission. The status of the decision on the application shall be known by the end of each quarter i.e. September, December, March and June.

3.12.2.2 Eligibility

- i. Applicants will normally be from public and private universities, R&D and STI institutions as well as NGOs and professional associations.

- ii. Applicants for any grant category (see Section 3.4) may only submit one application per year.

3.12.2.3 Awarding and Contracting of Innovation support

Successful applicants will be notified accordingly and will be required to sign a contract agreement, before the funds are released. The contract agreement will be between the Commission, the grantee, and the Head of the institution. The Contract Agreement is shown as Form CSGC1.

3.12.2.4 Disbursement and Use of Funds

Funds are disbursed through the applicant's institution Head and should appear in the institutional budget and financial account.

3.12.2.5 Accountability for the funds

Grantees must furnish the Commission with the status report of their work as agreed in the Support to R&D Grants Contract. In the case of a physical infrastructure, a verification visit may be done by the Commission.

3.12.3 Support to attend entrepreneurship, technology and innovation events

The purpose of the travel grant is to assist national entrepreneurs, innovators and technologists having a key role to participate in national, regional and international Entrepreneurship, Technology and Innovation events such as meetings, conferences, exhibitions, seminars, workshops, which are relevant to socio-economic development of the country. The support may be partial or full in either of the following categories depending on the availability of the funds:

Category 1: Round trip economy class (by shortest route) ticket to the conference/meeting;

Category 2: Daily Subsistence Allowance (DSA) equivalent to the number of nights at the meeting and as per the government financial regulations; and

Category 3: Registration fee of up to the full amount payable.

The Fund will not support the following expenditures in connection with the participants attending conferences/meetings:

- i. Expenses incurred with respect to visa, insurance, medical or hospitalization bills;
- ii. Compensation in the event of death, disability or illness of the participant;
- iii. Loss of and/or damage to personal properties of the participants; and
- iv. Incidentals enroute.

3.12.3.1 Submission of Application

The procedures for the submission of applications are as follows:

- a) Applications for a grant to attend innovation and entrepreneurship conferences/ meetings will be received throughout the year;
- b) Grant applications are submitted using Form CASMG1. Three copies of the grant application must be submitted on A4 size sheets, font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section 3.5; and
- c) Applicants will be notified of receipt of their applications within two weeks. The status of the decision on the

application shall be known by the end of each financial quarter i.e. September, December, March and June.

3.12.3.2 Eligibility

The grant is open to any individual innovator, entrepreneur, group of innovators and entrepreneurs or researchers from entrepreneurship institutions and must fulfill all the following criteria:

- a) Presentation of letter of invitation;
- b) Provide evidence of acceptance of paper/poster to be presented; and
- c) Former travel grantees may apply for another grant after completing at least two years from the last date of the last travel grant.

3. 12.3.3 Disbursement and Use of Funds

The amount approved shall be disbursed directly to the applicant in case of DSA; to the airline/travel agent office in case of ticket or to the conference/meeting organizers in case of registration fees.

3.12.3.4 Reporting

Grantees shall be required to furnish the Commission with the conference report as well as paper presented within the first two weeks after return from the conference/ meeting.

3.12.4 Support to host entrepreneurial, technology and innovation events

The purpose of this grant is to assist entrepreneurial, technological and innovation associations, institutions and

programmes to organize entrepreneurial, technological and innovative events such as conferences and meetings that are relevant to socio-economic development of the country. The Fund will provide partial or full support on the following categories:

Category 1: Publication of journals book of abstracts and proceedings;

Category 2: Participation of young scientists, technologists, and entrepreneurs; and

Category 3: Awards to young scientists, technologists, and entrepreneurs for best presentation: paper, poster and exhibition.

The support can be up to **TZS 5 million**.

3.12.4.1 Submission of Application

The procedures for submission of application are as follows:

- i. Applications for a grant to host scientific meetings will be received throughout the year and must be received at least three months in advance of the conference/ meeting dates;
- ii. Grant applications are submitted using Form **CSHC1**. Three copies of the grant application must be submitted on A4 size sheets, font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section 3.6.; and
- iii. Applicants will be notified of receipt of their applications within two weeks after receiving the application. The status of the decision on the application shall be known by the end of each financial quarter i.e. September, December, March and June.

3.12.4.2 Eligibility

Eligibility will be as follows:

- a) Applicants will normally be public and private universities, Innovation & Entrepreneurship institutions as well as NGOs and professional associations; and
- b) Applicants may only be eligible for another grant after two years since receiving the last grant for hosting scientific meeting (refer Section 3.6 for items that may be considered).

3.12.4.3 Disbursement and Use of Funds

The procedures for disbursement of fund will be as follows;

- a) Approved funds for support to young scientist participation shall be disbursed to the institution/conference account. The list of names of the beneficiaries will need to be submitted to the Commission before disbursement;
- b) Funds for awards shall be disbursed directly to awardees upon receiving the names from conference organizers; and
- c) Funds for printing of Conference proceedings, book of abstracts and meeting proceedings will be paid to the printer upon submission of the proforma invoice from the printer.

3.12.4.4 Reporting

The meeting/ conference organizers would be required to deposit five copies of the proceedings within three months after the conclusion of the conference.

3.12.5 Support to schools on innovation activities

The following categories are applicable:

Category 1: Partial support to primary and secondary school science fairs to support cross scientific camps and fairs, entrepreneurship fairs (social based and science based) enabling students to explore and ideate new user centered solutions;

The grant per event can be up to TZS 3 million to be used for both provision of accommodation and food for student participants as well as awards for best school exhibitors. The awards may be as follows: TZS 300,000, TZS 200,000 and TZS 100,000 for 1st, 2nd and 3rd school winners, respectively;

Category 2: Awards for teachers who support innovative cross-scientific problem solving and co-creation. The awards may be as follows: TZS 500,000, TZS 300,000 and TZS 200,000 for 1st, 2nd and 3rd individual winners, respectively; and

Category 3: Awards for user centered innovations combining design, art and science. Awards will include certificate of recognition and cash of not less than TZS 500,000, TZS 300,000 and TZS 200,000 for 1st, 2nd and 3rd school winners, respectively individual or any other prize.

3.12.5.1 Submission of Application

The submission of applications will be as follows:

- a) Grant applications are submitted using Form CSSG1. Three copies of the grant application must be submitted on A4 size sheets, font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section 3.7.; and

- b) Applicants will be notified of receipt of their applications within two weeks. The status of the decision on the application shall be known by the end of each financial quarter i.e. September, December, March and June.

3.12.5.2 Eligibility

Eligibility will be as follows:

- a) Applications are for grants to support innovation and entrepreneurial activities (e.g. innovation and entrepreneurial fairs/ exhibitions). Preference will be given to requests that will involve several public and private secondary schools with active student participation; and
- b) Applicants may include science based associations and clubs involving student participation.

Note

Applicants may only submit one application per year.

3.12.5.3 The Support to Schools Grant Contract

Successful applicants will be notified accordingly and will be required to sign a contract agreement, before the funds are released. The contract agreement will be between the Commission and the organizing authority of the event. The Contract Agreement is shown as form **CSSC 1**.

3.12.5.4 Disbursement and Use of Funds

Funds are disbursed through the organizing authority account.

3.12.5.5 Reporting

Grantees must furnish the Commission with the status report one month after the conclusion of the event.

3.13 Funding Scope of Innovation programs

The innovation fund shall support the innovations programmes and events mentioned in the previous items. The programmes need to have clearly articulated target groups and activities presented in the funding application.

Funding can only be awarded to a registered entity and for a maximum of two years at a time. A successful programme may apply for new funding after completion of the first grant. If a new grant is approved it will be conditional to the first grant programme being satisfactorily completed and reported.

Funding will be disbursed based on agreed milestones as stipulated in the contract. Funding can be used for:

- i. Hiring of mentors, trainers and other experts to support the running of the programmes;
- ii. Providing reasonable refreshment during training and events;
- iii. Paying rent and electricity of the space where the programme is run;
- iv. Supporting long programmes (not individual events) through purchasing and maintaining tools needed to run the programmes such as computers, projector, etc. These need to be in proportion to the scale of the programme;
- v. Supporting long programmes (not individual events) for upkeep and maintenance of the space where the programme is run (for example painting): and
- vi. Including other reasonable direct expenses linked to the running of the programme.

Funding cannot be used for:

- i. Building or large-scale renovations;
- ii. Buying property such as land or buildings;
- iii. Buying cars;
- iv. Administration fees;
- v. Pay salaries; and
- vi. Establish revolving fund.

The grants committee may give feedback on a budget or a project plan, and ask the applicant to resubmit a revised budget or project plan.

3.14 General Reporting of Innovation Programs

Grantees must furnish the Commission with the following reports:

3.14.1 Quarterly/ Milestone Progress Reports

These are the quarterly progress reports of their work as agreed upon in the Innovation Grants Contract. Progress reports should reflect achievements of the objectives set and highlight subsequent phases of the project and, where applicable, future plans. The format for presentation of progress reports is shown as form **CIG 13**. The contents of the report should contain:

- a) A descriptive analysis of the project activities conducted during the reporting period;
- b) A comparison of actual achievements with the goals and objectives established for such milestone/quarter;
- c) Reasons why established goals were not met, if applicable; and
- d) Other pertinent information, including an analysis and explanation of any cost over runs or high unit costs.

3.14.5.1 Periodic/ Milestone Financial Expenditure Reports

As stated in the agreement document, grantees are required to submit routine expenditure reports, typically on a quarterly basis. Monthly Expenditure Reports may be required as a special condition of the agreement or may be used when the grantee is seeking an off-cycle request for an advance of funds.

The template for financial reporting is provided as an appendix of the sub-award document and may be found in the Grantees Financial Package, provided by the grants management unit. The grantee must submit copies of payments supporting documents including receipts, invoices, reports and fund reconciliations (accompanied with the Bank statement and the cashbook since covering the period reported)

Other regular report will include:

- a. Mentor's report;
- b. Annual Reviews by Technical Advisors (COSTECH Staff);
and
- c. Periodical feedback sessions & field visits.

A final report, which should be submitted within 45 days after completion of the project, must be written according to the format provided in form **CIG 14** and **CIG 15** and should include lesson learned for increased scale, efficiency and effectiveness of innovation grants in the future innovation window.

3.15 Account Reconciliation and Final Financial Reporting

Any funds paid to the grantee in excess of the amount to which the grantee is entitled, as determined by the financial reporting, allowable expenses, and successful project completion, must be

returned to COSTECH. Form **CIG 16** provides guidance on final reporting. If this balance is not refunded within a reasonable time period after the award end date, COSTECH retains the right to recover the amount owed using the following procedures:

- a) Deducting the amount owed from any remaining requests for reimbursement from the grantee;
- b) Withholding the amount from any advance requests that the grantee has pending; and
- c) Seeking legal remedy to the extent permissible by local law.

3.16 Reimbursement

Some grantees are funded under a cost-reimbursement method rather than a cash-advance method. For payment by reimbursement, the grantees must submit a signed invoice for grantee's expenses for the previous months/ period, including supporting documentation for all invoiced expenditures. In addition, the grantee must submit a Quarterly/Milestone Expenditure Report to document current and past expenditures and all payments from COSTECH. The expenditure report must be signed by an authorized official of the grantee's organization and must conform to all specifications above.

3.17 General Purchasing Procedures

All procurement of goods and services should be based on competitive pricing and be guided by the Procurement Act (2004) and its subsequent amendments. At least three competing quotes must be obtained when the value of a purchase of goods or services equals or exceeds TZS 500,000. Pro-forma invoices may be used as quotes, but are not acceptable for payment. Actual invoices must be submitted for payment. Stamped receipts from the vendor are required once payment has been completed. The required bids/quotes must be attached to the

expense documentation or a written explanation of why the bids are not included and must be provided.

In the event that competitive bidding is not viable for the requested product or service, the grantee must complete a *grantee's Single/Sole Source Justification Form* and present it to COSTECH as supporting documentation. (For definitions of sole source and single source, see the form itself.)

3.18 Closeout of Funded Projects

3.18.1 Closeout Notification

The project grantees shall be officially notified on expiring date of the project contract three months prior the closing date. The grantee will also be reminded one month prior the closing date.

In case grantees will need more time they can request for no cost extension two month prior to the closure date. The grantee will also be required to submit a report of the updated status of implementation to justify for extension.

3.18.2 Final Closeout Reports Submission Timeline

At the end of the project, grantees will be required to submit within two months a project completion report. The grantee is required to submit both the final error free technical report and the final audited financial expenditure report (soft and bound hard copies). Failure to submit timely and accurate final reports may affect future funding to the organization and/or awards with the same PI and affiliated institution. The grantee shall be required to return all unreported/unspent funds. A close out checklist is as shown in form **CIG 17** and the templates for Final Technical Report (see form **CIG 15**) and one for Financial Report (form **CIG 16**). The reports should be detailed as explained below.

3.18.3 Final Technical Report

The final technical report should include the following:

- a) A description of the most relevant result achieved and results that could be scaled up;
- b) P description of the expected impacts of the project results;
- c) Prospects for continuation of project activities, including possible new partnerships;
- d) Dissemination and utilization of the research results and the targeted end users;
- e) Key lessons learned during the implementation of project activities; and
- f) A description of results which need protection on IPR and stage reached in securing IPR.

3.18.4 Final Financial Expenditure Report

The Final Financial Expenditure report should include:

- a) The final Certified Expenditure Report template as shown under the form **CRG 16** for ease of reference;
- b) Projects acquired facilities and physical assets disposal plan in accordance with the government regulations and procedures;
- c) Copies of payments supporting documents including receipts and invoices;
- d) Reports fund reconciliations (accompanied with the bank statement and the cash book covering the period reported);
- e) Assets register for the project assets funded by the program; and
- f) Official letter confirming receipts of the funds disbursed, supported with official receipts if were yet to be submitted.

3.19 Return of unspent funds

Unspent funds must be returned to COSTECH through COSTECH account. The bank account details will be communicated during the closeout notification.

4. PART C: STI AWARDS GUIDELINE

4.1 STI-Awards through Olympiad Competition

4.1.1 Background

COSTECH has administered and awarded the Tanzania Award for Scientific and Technological Achievements" (TASTA) since 1982. In its efforts to widen the scope of the award, the Commission approved the establishment of other Science, Technology and Innovation (STI) Awards after having noted some significant scientific and technological development and utilization of STI in the country, which do not fall within TASTA mandate, but deserve national recognition. While the TASTA award caters for tangible achievements in STI it did not have room for other types of intellectual achievements in STI (e.g. development of scientific theories, contribution to scientific and technological achievement without necessarily having to invent/innovate or discover). The types of awards as administered by COSTECH with effect from 1stJuly, 1997 include the TASTA; National Award for Research in Science and Technology (NARST) and School Science Award (SSA).

The current STI awarding system does not differentiate between grassroots and non-grassroots innovators. The data shows that in previous years, most of the applicants for STI awards were grassroots innovators; this posed a challenge that needed to be addressed. Furthermore, the STI awarding system at the time was not in the form of a competition. Each applicant applies independently and consequently, applicants discovered that their applications were bound as to when they their applications were submitted. The proposed system aims at changing this tradition. Therefore, the Olympiad will have deadlines for application, processing and awarding and it will involve competitions for

students’ innovative ideas, grassroots innovations and non-grassroots innovations. .

The objectives of the STI awards are:

- i. To encourage initiative and creativity in the promotion of scientific and technological achievements in Tanzania; and
- ii. To enhance and accelerate the development of scientific and technological capability and capacity in Tanzania.

The awards shall be given annually to eligible persons.

4.2 Award Categories

4.2.1 Tanzania Award for Scientific and Technological Achievement (TASTA)

This award is given to Tanzanians who have made scientific or technological discoveries, inventions, innovations or adaptations that have relevance to the socio-economic development of the country.

4.2.2 National Award for Research in Science and Technology (NARST)

This award is given in the recognition of and support of the high caliber scientific or technology development work carried out by an individual scientist/technologist or institution who in the opinion of the nominating body has made significant and outstanding contribution to advancement of S&T. Consideration will be given particularly to proven achievements judged particularly from national and international point of view.

4.2.3 School Science Awards (SSA)

This award is intended to generate a scientific culture at the grassroots level. The award will be given to best schools or

individuals or institutions that have registered an improvement in the utilization of S&T through innovation/adaptation in the year under consideration. The categories for awards could remain the same i.e TASTA, and SSA. The proposed approach is to group the TASTA, and SSA for the non-grassroots innovators. For the pupils' innovation competition, the awards will be in following categories:

- i. First *Amsha Ubunifu* Award;
- ii. Second *Amsha Ubunifu* Award; and
- iii. Third *Amsha Ubunifu* Award.

For the grassroots innovation competition, the awards will be in three categories namely:

- i. First Grassroots Recognition Award;
- ii. Second Grassroots Recognition Award; and
- iii. Third Grassroots Recognition Award.

4.3 Mode of Application

The present mode of application is not time bound and it allows for any individual/institution that has made an innovation worth recognition to apply at any time. It is anticipated that the Olympiad will change the way of handling applications to be in a form of competition, annually or biannually. There shall be deadlines for applications for these awards.

4.4 Categories of Competitions

4.4.1 Competition for Pupils' Innovations (Shindano la *Amsha Ubunifu*)

The objective of this competition is to promote pupils' innovative ideas. This will instill a culture of building innovative capacity and capability of the future generation of Tanzania. There will be a need to collaborate with the Ministry responsible

for Education and Vocational Training. Other potential partners include the Vocational Education Training Authority (VETA) and the Local Government Authority (LGA).

The call for applications for awards shall be made between January and June in the respective year. The processing of the applications will continue till end of July and the potential applications for awarding will be tabled to the TASTA Committee in August and the awarding will be made in November during the STI week. Potential ideas from the pupils (primary, secondary and vocational training) will be developed further by R&D institutions. The proposed name for this competition is “SHINDANO LA AMSHA UBUNIFU”.

COSTECH may seek to collaborate with TV and Radio stations to promote this competition. Other potential collaborators are Tanzania Education Authority (TEA), companies like BP and telecommunications companies. Materials for promotion of this competition should be prepared. Proposal for the value of the awards shall be made by the TASTA Committee.

The awards for this competition will be in three categories namely:

- i **First** *Amsha Ubunifu* Award;
- ii **Second** *Amsha Ubunifu* Award; and
- iii **Third** *Amsha Ubunifu* Award.

Other awards may be established as per the needs as the TASTA Committee may find it fit.

4.4.2 Competition for Grassroots Innovations

Competition for grassroots innovations and traditional knowledge practices shall be a biannual event. The application deadline shall be set for the month of March of the awarding

year, and advertisement for this award to be made just after the awarding of the previous competition. The applications will be processed as they come till end of July and the potential applications for awarding to be tabled to the TASTA Committee in August of the awarding year. This competition shall alternate with the competition for non-grassroots innovations. Guidelines and forms for application should be developed.

- i The **First** Grassroots Recognition Award
- ii **Second** Grassroots Recognition Award
- iii **Third** Grassroots Recognition Award.

Other categories may be established as per the needs as the TASTA Committee.

4.4.3 Competition for Non-Grassroots Innovations

This will be a biennial competition alternating with the competition for grassroots innovations. The procedures will be the same as for the competition for grassroots innovations.

The categories for awards could remain the same as it is for TASTA (Gold, Silver and Bronze), and SSA.

4.5 Procedure for the TASTA Award

The Tanzania Award for Scientific and Technological Achievements” (TASTA) is an ongoing award instituted by the government in 1981 in order to promote and encourage the development and utilization of Science and Technology in the country. The aims and objectives of the award are as mentioned in Section 3.8.

4.5.1 Submission of application

- i Application for the TASTA can be made individually or by institutions.
- ii The application will include *inter-alia* the following: short curriculum vitae,
- iii Applicants will be notified of receipt of their applications within two weeks. The status of the decision on the application shall be known after the final evaluation (see evaluation criteria under for CA2 and the decision of the TASTA Committee on whether to award or not award the applications, which will be done twice every financial year.

4.5.2 Criteria for TASTA Award

The award is given to Tanzanians who have made scientific or technological discoveries, inventions, innovations or adaptations that are relevant to the socioeconomic development of the country.

The criteria for consideration for the TASTA award are as follows:

- The potential impact of the claim on socio-economic development, especially in relation to current national development goals;
- Originality of the claim;
- The potential of the claim to increasing productivity and efficiency; and
- The potential contribution of the claim to the advancement of knowledge in general.

4.5.3 Presentation of Awards

The successful awardees shall be informed of the day of the presentation of the award at a special occasion that may be held at the Commission premises.

4.6 Procedure for the NARST Award

The National Award for Research in Science and Technology (NARST) is given in recognition of and support to the high caliber scientific research or technology development work carried out by local scientists/technologist who in the opinion of the nominating body have made significant and outstanding contribution to the advancement of S&T. Consideration will be given to proven achievements judged particularly from a national and international point of view. The fundable area will be determined from time to time depending on the COSTECH strategic plan and the national priorities during the period.

4.6.1 Submission of application

The procedures for submission of application are as follows:

- i. Institutions or associations or individuals should make applications for prospective candidates. Self-nomination shall not be considered;
- ii. Applications shall be accompanied by a write-up, justifying why the individual deserves an award including the nature of scientific contribution made;
- iii. A peer review will be instituted to arrive at the deserving individual for the award;
- iv. Award applications are submitted using Form CA. Three copies of the award application must be submitted with font 12 point, Times New Roman and 1.5 spacing; and

- v. Applicants will be notified of receipt of their applications within two weeks. The status of the decision on the application shall be known after the final evaluation (see evaluation criteria under Form CA) and the decision of the TASTA Committee on whether to award or not to award the applications, which will be done twice every financial year.

4.6.2 Criteria for NARST Award

The criteria for the award are:

- i. The award will be given to a Tanzanian scientist/technologist who has made the most outstanding contribution in research leading to the advancement of STI
- ii. The award shall be given based on:
 - Originality of the scientific idea(s), theories technique(s) and/or methods developed; and
 - The potential application of the methods and/or techniques and the results in solving national/socio-economic problem(s).

4.7 School Science Award (SSA)

This award is intended to generate a scientific culture at the grassroots level. The award will be given to best schools that have registered an improvement in the utilization of S&T through innovation/adaptation in the year under consideration. Individuals who has developed teaching aids to facilitate the learning of science subjects in schools may also apply for this award. The School Science Award may be presented at a science fair organized at regional and national level.

4.7.1 Submission of application

The procedures for submission of application are as follows:

- i. Schools shall make the applications;
- ii. Applications shall be accompanied by a write-up justifying why the school or an individual, deserves an award including the nature of scientific innovation made;
- iii. A peer review will be instituted to arrive at the deserving school of the individual for the award;
- iv. Award applications are submitted using Form CA three copies of the award application must be submitted with font 12 point, Times New Roman and 1.5 spacing;
- v. Applicants will be notified of receipt of their applications within two weeks. The status of the decision on the application shall be known after the final evaluation and which will be done twice every financial year; and
- vi. Decision of the TASTA Committee on whether to award or not to award the Application.

4.7.2 Eligibility

The eligibility of the award will be as follows:

- i. The award will be given to the best school which has demonstrated innovativeness in science teaching, equipment, scientific experiments or theory with impact in education; and
- ii. The award will be given to the individuals who have developed teaching aids/facilities to enable good understanding of learning of science subjects.

4.7.3 Presentation of SSA Awards

The successful awardees shall be informed of the day for the presentation of the award at a special occasion that may be held at the Commission premises.

5. PART D: RESEARCH AND INNOVATION INFRASTRUCTURE SUPPORT GUIDELINES



5.1 Background

“Research and Innovation Infrastructure” denotes facilities, resources and related services that are used by the scientific community to conduct top-level research and innovation in their respective fields. It covers but not limited to the following:

- a) Major scientific equipment or sets of instrument;
- b) Knowledge-based resources such as collections, archives or structures for scientific information;
- c) Enabling Information and Communications Technology-based infrastructures such as computing, software and communication, and
- d) Any other entity of a unique nature essential to achieve excellence in research and innovation.

5.2 Eligibility

All applicants must be active public or private researchers and/or higher learning Institutions (higher learning institutions, R&D institutions, and laboratory) legally established in Tanzania and able to provide documented proof of legal status. **NOTE:** In case of limited resources, the funding priority will be given to the public owned institutions.

5.3 Funding Categories

Infrastructure funding may be granted for the following categories:

- a) Acquisition, retooling, establishment and/ or development of new research / innovation infrastructure;
- b) Upgrading and supplementation of the existing research innovation infrastructure; and
- c) Replacement of existing infrastructure (investments, installations, service contracts).

5.4 Procedures for obtaining Infrastructure Grants

Institutions applying for competitive or non- competitive Infrastructure grants will be required to submit proposals which should cover the following sections:

- a) **Cover sheet containing of:**
 - i. Title of the application/name of the infrastructure;
 - ii. Contact details of the applicant (Institution) ; and
 - iii. Year of application.
- b) **Abstract (the intention of the application by answering the questions; what, why, and how? Maximum of 500 words).**
- c) **Description of the infrastructure (totaling max. 4000 words incl. key references) with the following headings:**
 - i. Technical description (function, capacity, estimated service life, etc.; why has precisely this infrastructure been selected, where will it be located/developed - physically and administratively);
 - ii. Scientific significance (the scientific targets of the infrastructure; description of the research field(s) requiring the infrastructure, including key publications relevant to the infrastructure; description of hypotheses, especially new ones, that can be tested using the proposed infrastructure; where relevant and possible, also give examples of key publications made possible by similar infrastructure);
 - iii. Justifications for the initiative and potential synergies (description of existing and potential user groups within and outside your institution; is there any infrastructure at

- nearby universities/departments/institute which can be utilized as an alternative? Is there an option for coordination with other universities/institution?);
- iv. Plan for accessibility and user support (how the infrastructure is to be made available to potential users (marketing, principles for prioritization among users, user charges); training of users, support, etc.);
 - v. If the application relates to the upgrading of an existing infrastructure, a description of the present status and reasons for the upgrade must also be included. Information on the degree of utilization at present and after the planned upgrade must be included; and
 - vi. Proposed management (responsible for procurement, development, installation, operation, maintenance and phasing out).

5.5 Submission Procedures

COSTECH from time to time will float Calls for infrastructure support. The applications will follow the following procedures:

- a) Applying institutions will be required to submit full proposals as a Microsoft Word or PDF document typed using Times New Roman font size 12 and 1.5 spaced, excluding appendices if any;
- b) All applications will be submitted through COSTECH online system (CRGM) to be provided in the specific Call. Receipt of submitted applications will be confirmed immediately after the submission;
- c) Proposals submitted should be accompanied by a covering letter from the Head of the Institutions. In cases where more

than one Institution are collaborating in their submission, an endorsement letter from the collaborating Institutions should be submitted along with the application;

- d) Applying Institutions will also be required to submit a detailed institutional profile, including ongoing research projects, innovation activities, funding, audited Government financial reports, research groups, collaborations with other institutions and relevant publications ; and
- e) Institution should submit a proof document of industrial linkage for ensuring sustainability.

5.6 Funding Budget

Infrastructure funding may be granted for a maximum of 3 years. The funding may be up to TZS 700 million per grant. Funding will not be granted for research salaries or other direct research expenses. However, infrastructure maintenance, renovation of the premises, fitting and trainings should not exceed 20 % of the total budget.

Budget submitted for funding should include the following

- i. Description of a plan for long-term funding following the end of the funding period for sustainability.
- ii. Specification and justification for each cost item in the budget.

5.7 Assessment of Applications

Screening and evaluation of the Research Infrastructure Proposals will follow the format as indicated in **CRG 22 and CRG 23** forms. The assessment will focus on:

- i. **The potential of the infrastructure** – assessing if the proposed infrastructure could enable world-class research/

- innovation within the scientific field, and the conditions for a broad use of the proposed infrastructure;
- ii. **Scientific quality** – assessing the scientific quality of the research that the infrastructure is intended to support;
 - iii. **Merits of the applicants** – assessing whether the participating institutions are at the forefront of the scientific field, and have necessary expertise and capability to establish and manage the infrastructure;
 - iv. **Feasibility and sustainability** – Realism of the funding plan. Relevant support for users. Have a long-term plan for scientific objectives, utilization and sustainability, revenue collection, support for and training of users, maintenance and business model;
 - v. **Relevance** to National research priorities and the industrialization strategy; and
 - vi. **Collaboration**– The user base of the infrastructure, and the significance of the infrastructure to promote research collaboration. Possible interest from other stakeholders, and option for co-financing. Access to equivalent infrastructure at other universities, R&D institutions, industry. Potential of the infrastructure being utilized by a number of research teams with highly qualified research projects. Accessibility of the facility to users outside their own University/ Research Institution within Tanzania.

5.8 Pre award Assessment (Due Diligence)

Once an application has been reviewed and approved for funding a pre-award assessment (PAA) will be performed on the host institution before agreement execution and funding using **(CRG 13)** form. The PAA report will be reviewed and the proposed actions shall be considered before funding. If the risk is very high, the project will not be worth funding unless appropriate

interventions are proposed. It is important that the process is complete prior to signing of the contract. Key areas to be addressed in the pre-award assessment process include: governance, HR, risk management, finance, procurement, and audit.

The purpose for PAA includes:

- i. Ascertaining whether the applicant's institution has the financial; organizational and technical capacity to manage disbursed funds;
- ii. Determining whether the commission will obtain value for money;
- iii. Establishing the legality of applicants in their respective institutions; and
- iv. Determining whether the institution has the required infrastructure to perform the proposed research.

A team of pre-award assessment will involve staff from NFAST unit, Research and Innovation directorates, internal audit unit, procurement unit and legal unit. All results of the pre-award assessment are documented on the Grantee's Assessment Form, and both the grantee and the assessor after completing the assessment must sign at the bottom. COSTECH retains the right to implement additional controls or requirements on grantees that are deemed high risk. All additional requirements will be communicated to the grantee in writing prior to their implementation. COSTECH also retains the right to remove these controls and requirements once the grantee displays improvement and increased capacity.

5.9 Awarding and Contracting

Awarding and contract signing will only be done on the basis of a satisfactory pre-award assessment report. A contract agreement will be signed between COSTECH and the institution (grantee). The contract will among other things, clearly stipulate disbursement modalities, procurement and use of funds. The contract agreement is shown as **CRG 13** Form.

Upon signing of the contract, COSTECH will disburse funds subjected to the submission of verified costs⁹ and quotations that comply with Government procurement procedures.

Subsequent payment(s) will be made upon successful submitted progress and reviewed project progress report. In case of construction projects the payments will be done based on implementation of phases upon receipt of performance certificate. Funds will be disbursed through the institution's bank account and the request for disbursement should bear an institutional emblem and seal.

Being public funds, the grants must be used for the purpose for which they are budgeted for and properly accounted for. Grantee Institutions are obliged to follow all government Procurement regulations and other financial regulations. The Commission shall not be bound to pay for the variance including extensions to the project without prior authorization.

Table 3: Timeframe for processing research infrastructure call

S/N	Task	Responsible Person/Directorate	Timeframe
1.	Call for infrastructure support-full proposals	DRCP	4 weeks

⁹ The costs should be verified by the Government recognized institution

2.	Screening of proposals	DRCP	2 Weeks
3.	Assigning proposals to the reviewers	DRCP	2 Weeks
4.	Evaluation of proposals	Reviewers	5 Weeks
5.	Receiving of evaluation results and compilation	DRCP	2 Weeks
6.	Sending feedback to applicants	DRCP	1 Week
7.	Approval for fundable proposals	NFAST Committee & Commission	2 Weeks
8.	Pre award assessment	NFAST	3 Weeks
9.	Submission of inception report	NFAST	1 Week
10.	Review of Inception report	NFAST & DRCP	2 Weeks
11.	Contract signing	NFAST	2 Weeks
12.	Fund disbursement	NFAST & FAM	2 Weeks
	TOTAL		28 Weeks

5.10 Project Monitoring and Reporting

The head of the project host institution will be responsible to oversee the implementation of the project and will also ensure that the grant is properly managed. Financial and technical reports should be prepared and be submitted to the Commission in accordance with the work plan.

Grantees must furnish the Commission with reports (financial and technical) as per the Contract. Reports should be supported with all payments supporting documents including receipts,

invoices/quotations, payment vouchers, BOQ, activity reports etc. Progress technical report should provide a brief description of the progress made so far in relation to the project schedule, achievements of the objectives set and highlight subsequent phases of the project and where applicable future plans. The progress report should also outline the period covered from the start of the project, and the progress reports due date. The format for presentation of Progress Technical Reports is shown as **(CRG 15) Form**; while one for Progress Certified Quarterly Expenditure Report (**CQER**) is shown under **(CRG 16)** form

In collaboration with NFAST unit, an internal audit unit of the Commission may perform an audit to sampled supported project particularly those of high risk (technical and financial). The NFAST unit shall conduct a quarterly/ biannual supportive supervision include technical visit to the project host institution (depending on the nature of the project) as part of onsite financial monitoring and evaluation of the project (technical¹⁰ and financial). The project information for M&E purpose should be filled in the M&E tool **CRG 17**. Consequently, the technical M&E report will be presented through **CRG 18** while financial M&E report will be filled in **CRG 19**. The monitoring team may recommend NFAST committee through COSTECH management to suspend the project upon being satisfied that there has been a violation of the Grant Contract and terms. Any suspension of the project shall be approved by the Commission through the NFAST Committee.

The Controller Auditor General (CAG) shall audit all supported institutions. The

Commission can request the institutional audited report from CAG. All infrastructure grants document submitted by the grantees shall be handled according to the Commission's standard operating procedure (SOP)

¹⁰ *progress reports should provide detailed analysis including value for money*

5.11 Quarterly Technical and Financial Reports

5.11.1 Technical Progress Reports

These are the quarterly technical progress reports of the grantee's work reflecting achievements of the objectives set and highlighting subsequent phases of the project and, where applicable, future plans. The contents of the report should contain:

- a) A descriptive analysis of the project activities conducted during the reporting period;
- b) A comparison of actual achievements with the goals and objectives established for such milestone/quarter;
- c) Reasons why established goals were not met, and if applicable;
- d) Other pertinent information, including an analysis and explanation of any cost overruns or high unit costs;
- e) Description of impacts of the project; and
- f) Overview of the expenditure versus budget.

5.11.2 Financial Reports

The grantee must submit a Quarterly/Milestone Expenditure Report to document current and past expenditures and all payments from COSTECH. The expenditure report must be signed by an authorized official of the grantee's organization and must conform to all specifications above. The template for financial reporting is provided as an appendix of the sub-award document and may be found in the grantee's financial package, provided by the grants management unit. The grantee must submit copies of payments supporting documents including receipts, invoices, reports and fund reconciliations (accompanied with the bank statement and the cash book covering the period reported).

5.12 No Cost Extensions

In case the project is not completed in specified period of time a letter requesting for extension of the project must be made to the Commission well in advance not less than two months prior to the expiry of the contract in force and will be a none cost extension. Requests for extension must specify reasons for the extension, amount of the remaining funds; the estimated period required to complete the project. The Commission has the liberty to accept or reject the request.

5.13 Budget Redirection

A grantee may redirect up to 10% from one line to the other provided the change is authorized within the approved scope of work, and the overall budget does not overrun. For over 10% reallocation, official approval must be granted from the Commission. The approval letter will be sent to the grantee as soon as this is approved. All future financial reports and advance requests should be based upon the revised budget

5.14 Termination of Contract

A contract can be terminated at any time before completion of the project if the host institution fails to comply with the following;

- i. Circumstances where the project does not indicate value for money; and
- ii. Failure to comply with terms and conditions stated in the grant contract.

5.15 Project Closeout

5.15.1 Project Closeout Notification

The project grantees will be officially notified by the Commission on expiring date of the project contract six month prior the closing date.

5.15.2 Final Closeout Reports Submission Timeline

At the end of the project grantees are required to submit within two months project completion reports. This submission¹¹ shall include both the final technical¹² report and financial expenditure report templates for Final Technical Report (**CRG 20**) Form and for Financial Expenditure Report (**CRG 21**) form. The submissions will be subjected to rigorous internal review for assurance of quality control¹³. The reports will be posted to COSTECH website for general public consumption. The reports should be detailed as explained below.

a. Final Technical Report

The final technical report should include the following and should be submitted in both soft and hard copies:

- i. A description of products or services of the infrastructure;
- ii. Impact and success stories of the infrastructure in terms of its contribution to research and development;
- iii. Prospects of sustainability, including possible ;
- iv. Detailed description of the existing capacity and status of the infrastructure;
- v. Key lessons learned during the implementation of project activities; and
- vi. Any of supporting document(s) of the evaluation (if any) that received from regulatory authorities.

b. Final Financial Expenditure Report

The Final Financial Expenditure report should include:

- i. The final Certified Expenditure Report template that is shown under (**CRG 21**) Form for ease of reference.

¹¹3 hard bound copies and soft copy (PDF)

¹²The report should range between 75 to 120 pages (A4, double space, and 12 New Romans)

¹³The review comments will be communicated to the Host Institution prior to the submission of final error-free report

- ii. Projects acquired facilities and physical assets
- iii. Copies of payments supporting documents including receipts, invoices, reports
- iv. Fund reconciliations (accompanied with the bank statement and the cash book covering the period reported)
- v. Existing asset register for the project assets funded by the program

5.1.1 Late submission of Project Closeout Reports

Closeout reports are due no later than 2 months after the project end date. Failure to submit timely and accurate final reports may affect future funding to the organization.

5.16 Return of unspent funds.

Unspent funds must be returned to COSTECH through NFAST account. The bank account details will be communicated during the closeout notification.

5.17 Misuse of Research fund

In the circumstance whereby the infrastructure project did not indicate the value for money for the agreed specific project objectives and milestones, the Grantor (COSTECH) has reserve the right to demand the grantee through the guarantor to return the misused funds.

6. PART E: SPONSORSHIP AND FELLOWSHIP GRANTS GUIDELINES

6.1 General Requirements

The applicant must be affiliated with a R&D institution as a researcher and must be committed to work for the institution upon completion of studies for the period not less than 5 years. The fundable research component must be tenable locally and the applicant must have evidence of admission. The selection of students will be based on academic and scientific qualifications as well as gender consideration.

6.2 Types of Fellowships and its Requirements:

6.2.1 Masters Fellowships

The requirements are as follows:

- i. Applicants must be Tanzanian citizens holding a good first degree. Preference will be given to females and young scientists;
- ii. Applicants must be employees from recognized national public and private R&D/S&T institutions;
- iii. Preference will be given to applicants below the age of 40;
- iv. Applicant should be recommended by his/her employer;
- v. Applicant should have admission for proposed studies at the time of application; and
- vi. Applicants already enrolled into a Master's program can be eligible for partial support by providing justification for extra support to finance their research linked to completion of their study program.

6.2.2 PhD Fellowships

The requirements are as follows:

- i. Applicants must be Tanzanian citizens holding a good Master's Degree (or equivalent) from a recognized university or higher education institute;

- ii. Applicants must be employees from recognized national public and private R&D/S&T institutions;
- iii. Preference will be given to applicants below the age of 35 for males and 40 for females;
- iv. Applicant should be recommended by his/her employer ;
- v. Applicant should have admission for proposed studies at the time of application;
- vi. Preference will be given to females and young scientists; and
- vii. Applicants already enrolled into a PhD Programme can be eligible for partial support by providing justification for extra support to finance their research linked to completion of their study programme.

6.2.3 Post-doctoral Fellowships

The selection process for the postdoctoral fellowship will follow the procedure and processes presented in 4.3. More over:

- i. Applicants must be a Tanzanian, holding a PhD degree from a recognized Higher Learning Institutions;
- ii. The postdoctoral research shall be hosted at a locally accredited higher learning institution, recognized R&D institution or industry in Tanzania;
- iii. On rare occasions where the required area specific qualification and/or technology are not available in Tanzania, a candidate may be recruited from outside the country on condition to build capacity of Tanzanians in the respective expertise;
- iv. The age of a postdoctoral applicant should not exceed 40 years for men and 45 years for women at the time of award of the fellowship;
- v. The application must be submitted within 5 years after completion of a PhD Degree;

- vi. Applicants must have a registered patent or at least one published research paper¹⁴ in a peer-reviewed journal as a first author. The paper must be published in the journal listed in International Science Citation Index (ISCI);
- vii. Applicants with degree(s) that need professional licensing/registration before practice must hold a license in Tanzania at the time of application;
- viii. Applicants must submit a joint research proposal prepared in consultation and agreement with potential mentors;
- ix. All submissions must be attached with endorsement letters from mentors and the host institution expressing commitment to support the applying postdoctoral fellows; and
- x. Candidates who previously secured postdoctoral research grants from Tanzanian government or non-government sources shall not be eligible.

6.2.4 Short Courses Fellowships

The criteria are as follows:

- i. Applicants should hold at least a degree in a relevant field. Preference will be given to technicians and young scientists;
- ii. Full or partial support will be given to selected applicants as long as the course content is within the specified national priority;
- iii. Applicants must be employees from recognized national public and private R&D/S&T institutions;

¹⁴The applicant must either be the single author, first author or joint first author. In a joint first author paper, the applicant may be listed in second place, however the equal contribution of the first two authors must be clearly stated. In some cases the standard publication practice makes first authorship impossible (e.g. alphabetical listing of authors); these circumstances must be explained in the "Additional Comments" section of the application. Electronic/ Hard copies of lead author publications must be submitted while preparing the application. They cannot be submitted separately after the applicant has submitted.

- iv. Courses should be longer than one week, but less than six months; and
- v. Preference will be given to training conducted within Tanzania or East African region.

The employer of the prospective applicant is expected to cover the following expenditures in connection with a participant attending a short course:

Expenses incurred with respect to visa, insurance, medical or hospitalization bills;

- i. Compensation in the event of death, disability or illness of the participant;
- ii. Loss of and/or damage to personal properties of the participant; and
- iii. Incidentals enroute.

6.2.5 Submission of applications

The procedures are as follows:

- i. Applications are submitted in a format shown in Form CFG1 for Masters; CFG2 for PhD, CFG3 for Post-Doc and CFG4 for short courses. Three copies of the fellowship application must be submitted on A4 size sheets, font 12 point, Times New Roman and 1.5 spacing;
- ii. Applications must reach the Commission within the specified deadlines; and
- iii. Applicants will be notified of receipt of their applications within two weeks. Shortlisted applicants may be called for an interview with the Selection Committee where applicable.

6.2.6 Support to Participate Scientific events

6.2.6.1 Submission of Application

The following are the procedures:

- i. Applications for a grant to participate scientific conferences/ meetings will be received throughout the year;
- ii. Grant applications are submitted using Form CASMG1. Three copies of the grant application must be submitted with the following specifications; font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section; and
- iii. Applicants will be notified of receipt of their applications within two weeks. The status of the decision on the application shall be known by the end of each financial quarter i.e. September, December, March and June.

6.2.6.2 Criteria/ Procedures

The grant is open to any individual scientists, group of scientists or researchers from S&T institutions and must fulfill all the following criteria:

- i. Presentation of letter of invitation;
- ii. Provide evidence of acceptance of paper/poster to be presented;
- iii. Former travel recipient may apply for another grant after completing at least two years from the last date of the last travel grant; and
- iv. Endorsement letter from his/ her institution.

6.2.6.3 Disbursement and Use of Funds

The amount approved will be disbursed directly to the applicant in case of DSA; to the airline/travel agent office in case of ticket or to the conference/meeting organizers in case of registration fees.

6.2.6.4 Reporting

Grantees are required to furnish the Commission with the conference report as well as paper presented within the first two weeks after return from the conference/ meeting.

6.2.7 Support to Host Scientific Conference

6.2.7.1 Submission of Application

The following are the procedures:

- i. Applications for a grant to host scientific meetings will be received throughout the year and must be received at least three months in advance of the conference/ meeting dates;
- ii. Grant applications are submitted using Form CSHC1. Three copies of the grant application must be submitted with font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section 3.6.; and
- iii. Applicants will be notified of receipt of their applications within two weeks after decision.

6.2.7.2 Criteria/ Procedures

The following are the procedures:

- i. Applicants will normally be public and private universities, R&D and S&T institutions as well as NGOs and professional associations; and
- ii. Applicants may only be eligible for another grant after two years since receiving the last grant for hosting scientific meeting (refer Section 3.6 for items that may be considered).

6.2.7.3 Disbursement and Use of Funds

The procedures are as follows:

- i. Approved funds for support to young scientist participation shall be disbursed to the institution/

- conference account. The list of names of the beneficiaries will need to be submitted to the Commission before disbursement;;
- ii. Funds for awards shall be disbursed directly to awardees upon receiving evidence from conference organizers; and
 - iii. Funds for printing of Conference proceedings, book of abstracts and meeting proceedings will be paid to the printer upon submission of the proforma invoice from the printer.

6.2.7.4 Reporting

The meeting/ conference organizers are required to deposit five copies of the proceedings within three months after the conclusion of the conference.

6.2.8 Support to Schools

6.2.8.1 Submission of Application

The following are the procedures:

- i. Grant applications are submitted using Form CSSG1. Three copies of the grant application must be submitted with font 12 point, Times New Roman and 1.5 spacing. The kind of support envisaged is as shown in Section 3.7.; and
- ii. Applicants will be notified of receipt of their applications within two weeks after decision.

6.2.8.2 Criteria/ Procedures

The following are the procedures:

- i. Applications for a grant to support scientific and technological activities (e.g. science fairs/ exhibitions) Preference will be given to requests that will involve several public and private secondary schools;

- ii. Applicants may include science based associations and clubs involving student participation; and
- iii. Applicants may only submit one application per year.

6.3 The Fellowships Grant Contract

Successful applicants for all post-graduate studies shall be notified accordingly and required to sign a contract agreement, before the funds are released. The contract agreement shall be between the Commission, the grantee, the training institution and the grantee's employer. The contract Agreement is shown as Form CFGC1.

6.4 Disbursement of Funds

The following are the procedures:

- i. All the funds related to the fellowship will be disbursed directly to the university/ institute where the successful applicant will pursue the fellowship programme. The university/ institute will use its existing internal procedures to disburse the money to the students/ study fellows. The Commission will not entertain direct communication with the students/study fellows regarding the grants;
- ii. Procurement of materials needed for the purpose of research linked to the study programme must adhere to national standards; and
- iii. International travel expenses will be paid directly to a travel agent who will issue the ticket to the grantee. Local travel expenses will be paid directly to the grantee upon submission to the Commission, tickets from a public transport.

6.5 Accountability and Reporting

The procedures are as follows:

- i. Grantees must submit to the Commission regular progress reports of their studies as agreed in the Fellowship Grants Contract;
- ii. The university/institute is responsible for making sure that the intermediate reports and the final thesis are prepared by the grantees and copies sent to the Commission; and
- iii. Grantees of Post-doctoral and short course fellowships will be required to furnish the Commission with the course report within two weeks of completing the course. Postdoctoral awardees will be required to publish at least one paper in a recognized journal within the award period.

6.6 Ownership of Research Results, Copyright or Patent

Where a copyright or patent may be obtained through the fellowship, the ownership of the patent or copyright will be administered according to the Tanzanian National Research and IPR policies as well as the research and IPR policies of the Fellowship Host Institution.

7. ANNEXES: TOOLS FOR RESEARCH AND INNOVATION GRANTS MANUAL

7.1 Inception Report (CRG0)

The inception report should include the following sections

S/N	ITEM	DESCRIPTION
1.	Summary of the Project-	Give the briefly description of the problem the project intend to address
2.	Theory of Change	Provide a comprehensive description and illustration of how and why a desired change is expected to happen in a particular context
3.	Main Methodology	Outline clearly the study design, methods and approaches of data collection, handling and analysis
4.	Realistic Objectives	Please indicate any variance and reasons to the original proposal if any.
5.	Detailed work plan and milestones	Indicate the duration of project, timeline for each activity to be implemented and key deliverables that intended to be achieved

6. Log framework (LFA—below table)

Table 1. LFA

Outcome			
Outcome indicator			
Baseline	Year		
Target	Year		

Output			
Output indicator			
Baseline	Year		
Target	Year		

Risks			
Risk indicator			
Mitigation measures			
Baseline	Year		

7.2 Concept Note Application Form (CRG 1)

1. APPLICANT CONTACT INFORMATION

Title of the research Concept note:

Name of Applicant:

Affiliated Institution:

Mobile No.....

&E-mail Address

2. NARRATIVE SUMMARY OF THE CONCEPT NOTE

S/N	ITEM	INSTRUCTION
1.	Research Summary	Give a short summary (< 150 word) of the problem the research is intended to address. State research questions. Use a clear and logical style in writing. (The proposed project should not been previous supported by COSTECH)
2.	Background	A concise review (< 400 words) of the main research work and current issues in the specific subject area.
3.	Objectives	Clear statement(s) of the overall and specific objectives
4.	Hypothesis	State what shall the research project be testing
5.	Study location	Description of study location and justification for choice of the site(s)
6.	Methodology	Outline clearly the study design, methods and approaches of data collection, handling and analysis

7.	Expected outputs & outcomes	Clearly outline the outputs and outcomes that the project is expected to generate
8.	Research Team	Mention the principle researcher (who should be Tanzanian citizen), co-researchers by name, detailed contacts. State briefly the qualifications research experience of the team member (attach short CVs based on the provided template), and their roles in the project implementation. The research team must be multidisciplinary, multi-institutional and should provide collaboration letter from each team member (Letters of acceptance from the collaborators is mandatory)
9.	Capacity building	Should include post-graduate training (Masters/ PhD) or improvement of research facilities.
10	Gender consideration	The submitted concept notes should provide evidence for inclusion of gender dimension
11	Budget	Provide indicative budget with key/broad budgetary items but should not exceed the stated amount
12	Timeframe	Show the duration of the project and the timeline for major activities as stated in the call

7.3 Confidentiality Statement (CRG 2)

I..... understand and agree that the screening of concept notes is confidential exercise and all information submitted to me in the process must be kept confidential.

I will therefore ensure the protection of such information is preserved and understand that:

1. Confidential Information will include: Invention description(s), technical and business information relating to research ideas and inventions, ideas, drawings and/or illustrations, research and development, finances and financial projections, regardless of whether such information is designated as “Confidential Information” at the time of its disclosure.
2. I will not disclose the confidential information obtained from the concepts notes/research proposals to anyone unless required to do so by law.
3. If any of the provisions of this statement is breached, administrative measures shall be instituted against me.

Name:

Signature:.....

Date:

7.4 Curriculum Vitae (CVs) Template for Researchers (CRG 3)

- 1 Full Name _____
- 2 Institutional Affiliation and Address _____
- 3 Occupation _____
- 4 Sex (M/F) _____
- 5 Date of Birth (dd/mm/yyyy) _____
- 6 Mobile No. & Email address: _____
- 7 Academic and Professional Qualification _____
- 8 Research projects undertaken as PI _____
 - i. _____
 - ii. _____
 - iii. _____ etc
- 9 Collaborative research projects undertaken
 - i. _____
 - ii. _____
 - iii. _____
- 10 Publications (include coding) – (relevant to the call)
 - i. _____
 - ii. _____
 - iii. _____
 - iv. _____

11 Invention/patent – (relevant to the call)

12 Grants awarded (Project, funder, amount, and timeframe)

i. _____

ii. _____

iii. _____

13 Evidence of supervision/ mentorship of postgraduate degrees candidates for the last five years

14 Other merits relevant to the call

NB: CV should not exceed three pages

7.5 Conflict of Interest Declaration Form for Screening Committee (CRG 4)

I,
hereby declare that I am qualified (*hold a relevant Master's or Doctoral Degree) to perform the screening of the concept note/proposal. I have been allocated the following concept note/proposal to screen:-

Title 1: Concept note/proposal

Title 2: Concept note/proposal

By accepting this task as a member of this committee, I guarantee not to disclose the information I get as a reviewer to use it for anybody's benefit or disadvantage including my own.

Screening committee members name

Signature.....

Date

When to declare Conflict of Interest

1. The screening committee member is named in the application taking up a role
2. The screening committee member (or close family member) will receive a direct financial benefits if the application is funded
3. The PI/ or others taking a major role in the application are from the screening committee member department
4. Within the past 3 years the screening committee member has been a collaborator with any person with a major role in the application
5. The application includes a letter of support/ reference letter from the screening committee member
6. The screening committee member serves as a member of the advisory board of the project under review
7. Any other reason that has been stated in the policy

7.6 Guidelines for Screening of Concept Notes (CRG 5)

1. Does the submitted concept note follow the provided format () Yes: () No
2. Does the submitted concept note falls within call theme/ sub-theme (where applicable) () Yes: () No
3. Is the proposed budget within the set ceiling () Yes: () No
4. The PI's citizenship: Tanzania (): Non Tanzanian ()
5. Does the PI have an academic qualification as stated in the call () Yes: () No
6. Does the submission include:
 - a. Letters of acceptance from the collaborator(s) (where applicable) () Yes: () No
 - b. Curriculum vitae (CV) of the research team () Yes: () No
7. Does the submitted concept note show evidence of supporting capacity building in form of Masters degree, PhDs or research facilities attached to the proposed project () Yes: () No
8. Is the proposed duration of the project aligned to the duration stated in the call? () Yes: () No
9. Has the proposed project previously supported by COSTECH () Yes: () No

7.7 Criteria Form for Selection of External Reviewers CRG 6)

Checklist for Selection of the Reviewers for CNs/ FPs

		Yes	No	Comment
1.	Does the reviewer preferably hold a doctorate degree in the thematic area of the Call?			
2.	Does the reviewer demonstrate practical experience of not less than five years in the area of research?			
3.	Does the reviewer has a wide knowledge and Is he/she conversant in the National Development Vision and Strategies?			
4.	Is the reviewer willing to spare time to undertake the assignment?			
5.	Is the reviewer a person with good record of research ethics and integrity?			

7.8 Reviewer's Conflict of Interest Declaration Form (CRG 7)

I, _____
hereby declare that I am qualified* (*hold a relevant Master's or Doctoral Degree, have a combination of Degrees with over 5 years of working experience) to perform reviewer services.

I have been allocated the following concept note/proposals to review:-

Concept note/proposal Title 1:

Concept note/proposal Title 2:

I further agree to the following: -

- To perform reviewer services for COSTECH for the duration of _____ days, from the date receiving the concept note/proposal
- Agree to a token honorarium per concept note/proposal reviewed, to be paid upon successfully submitting the concept note /propels review form.
- To abide by the timelines of the evaluation process to the best of my ability and to inform COSTECH should any circumstances arise that are beyond my control and which prevent me from completing the review services as agreed.

When Reviewers need to declare Conflict of Interest

1. The reviewer is named in the application taking up a role
2. The reviewer (or close family member) will receive a direct financial benefits if the application is funded
3. The PI/ or others taking a major role in the application are from the reviewer department
4. Within the past 3 years the reviewer has been a collaborator with any person with a major role in the application
5. The application includes a letter of support/ reference letter from the reviewer
6. The reviewer serves as a member of the advisory board of the project under review
7. Any other reason that has been stated in the policy

I hereby declare that I hold no personal interest in this concept note/proposals and that I do not benefit in any way from the approval or rejection of it. I further declare that I have no conflict of interest with the concept note/proposals, the principal investigators, or co-researchers that renders my judgement impartial and conflicting, and that disqualifies me from conducting an unbiased review. Should I detect a conflict of interest I will immediately inform COSTECH and will not proceed to review such concept note / proposals.

By accepting this task as a reviewer, I guarantee not to disclose the information I get as a reviewer to use it for anybody's benefit or disadvantage including my own.

Reviewer's name: _____

Signature: _____

Date: _____ day of _____ 2019

7.9 Concept Note Review/Assessment Form (CRG 8)

Please fill one form per concept note reviewed

Reviewer:
Mobile No. of reviewer:
Applicant:
Concept Note Title: :

Evaluation Key:

(100%-70%) - Recommended for funding

(69%-60%) - Conditional recommended for funding

(59%-0%) - Not recommended for funding

S/N	Item	Maximum Points to be awarded	Points Awarded	Comments*
1	Summary (Does this give clear indication of the research; problem statement; justification and rationale; objectives; hypothesis to be tested; methodology to be employed?)	15		
2	Objectives (Are these SMART?)	5		

3	Hypothesis (where applicable) (Can these be tested?)	5		
4	Relevance (Alignment to National priority areas)	5		
5	Methodology (Is this based on best practice, realistic and in line with the objectives?)	20		
6	Originality and innovativeness of the research	25		
7	Timeline (Is the requested time for the implementation realistic with the given team and resources)	10		
8	Researchers (Does the team has the necessary competence to conduct the project?)	5		
9	Outcomes (Do the output and outcomes of the research feed into National and sector	5		

	objectives?)			
10	Gender Consideration (Submitted concept notes should provide evidence for inclusion of gender dimensions)	5		
General Comments*:				

****Compulsory***

Note

All reviewers are required to submit technical comments in each section and overall comments for the scores awarded.

- *Any evaluation presented without comments will not be counted for selection processes.*

7.10 Research Proposal Application Form (CRG 9)

The application form and requested enclosures must be submitted online via RMIS. Full CVs of research team including passport size photographs must be attached

3.0SUMMARY OF THE PROJECT (This must contain all important elements of the proposed study including the type/design of research study, the problem statement, justification and rationale, the objectives, hypothesis to be tested, methodology to be employed, expected findings and use, and the budget requirement. This must not be more than 500 words).

4.0PROPOSED PROJECT DURATION

Duration (months):

Starting date:

Completion date:

5.0 BACKGROUND/LITERATURE REVIEW: Give the background to the proposed research, define the problem this proposal seeks to address, give an up-dated summary of scholarly knowledge in the field of the proposal.(Maximum of 1000 words)

5.1 State the research question/problem

5.2 Relate the existing knowledge about the problem(Support your statements with relevant literature citing most recent publication including locally available information published within 10 years

5.3 State the research gap which this research proposal intends to address

5.4 Justification/rationale: (Describe how this work shall contribute to the advancement of knowledge about the problem to be solved or bring about socio-economic development. State its technical feasibility, relevance and how it will contribute to long term capacity building and probability of research success).

- 5.5 State the hypothesis to be tested: state your assumptions that you intend to test in the research
- 5.6 State the broad objectives: (State the strategic goal(s) to which the solution of the stated research problem(s) shall contribute)
- 5.7 State the specific objectives: (Must be SMART - Specific, Measurable, Achievable, Realizable and Time bound in order to facilitate monitoring of the project. The specific objectives form a guide to the research methodology, data analysis and presentation of results).
- 6.0 Methodology - This should be very detailed as it is your guide on how the study will be carried out as well as the data analysis. This section should also describe the Research study/design, Justification of the choice of study area and study population, sampling procedures, Methods/techniques of data collection, facilities and major items of the equipment to be used, Ethical considerations.
- 6.1 State the type of research /study design
- 6.2 Study place (in case of studies involving human participants, describe adequately and justify the choice of the study area and population where the study is going to be conducted. Describe also the socio-economic and demographic characteristics of the proposed study area).
- 6.3 Study population (*in case of studies involving human participants*), define/describe and justify adequately the population from which the study sample shall be drawn).
- 6.4 Sample size (*in case of studies involving human participants*), define and adequately describe the sampling frame, determine the sample size, describe how the sample size was determined, describe the sampling procedures and state selection/inclusion/exclusion criteria).
- 6.5 Methods of data collection and study tools: (Describe and justify adequately study methods and laboratory analysis procedures (if applicable giving references). In case of using questionnaires, give key information that will be collected that assist in arriving to sound conclusions).

6.6 Evidence of Capacity building: Describe the capacity building such as long term training, mentorship, and short term e.g. transfer of skills to local staff e.g. managing equipment/conducting procedures.

6.7 Quality assurance mechanisms: Describe the overall quality research process and linkage to gender considerations

6.8 Ethical considerations ¹⁵: (If the study involves use of human participation, describe any ethical issues that need to be addressed, how the proposal is planning to address them. This should include protection of human subjects/clients rights. If animals will be used, consideration must be made with reference to the International Guiding Principles for Biomedical Research

Involving Animals (WHO, 1985. If ethical research clearance is not required, state so)

7.0 POSSIBLE CONSTRAINTS: (Describe any envisaged problems in undertaking the study and how these will be addressed, by whom, how and when).

8.0PROJECT REQUIREMENTS AND JUSTIFICATION¹⁶: (Describe and justify adequately)

8.1 Personnel needs and roles of each

8.2 Equipment (if any) type, number, source and for what purpose

8.3 Consumables such as reagents/drugs (if any), type, amount, source and for what purpose, stationary

8.4 Training requirements (if any) and programmes geared at improving the professional capability of the staff involved in the project

8.5 Travels (if any). This must be in the most economic way (fare/fuel¹⁷ and places to be visited)

¹⁵It is the responsibility of the applicant to obtain ethical research clearance if the proposal will involve human participation/animal subjects. The ethical clearance must be submitted to COSTECH along with the proposal for the proposals to be considered for funding under NFAST. No proposal involving human/animal participation shall be considered without an ethical clearance from established authorities.

¹⁶ Where the applicant has applied funds from elsewhere apart from COSTECH, s/he should specify the name of the organization, date of application, the amount, status and planned use

9.0STUDY PERIOD: (Describe the entire period of the study including pretesting (of the study tools), data collection, data analysis, training (where necessary), report preparation, and dissemination of the findings. Please indicate phases where applicable. A GANNT chart may also be drawn).

10.0 DATA MANAGEMENT AND ANALYSIS: (Provide detailed description on how the collected data shall be managed and analyzed. The statistical package (where applicable) to be used in data entry and analysis should be mentioned.

11.0 DISSEMINATION OF THE RESULTS: (State how results would be disseminated. State also how the results would reach the end users and bring socio-economic developments).

12.0 BUDGET: Provide/ upload indicative budget for each item included and respective budget justification as indicated on the budget template form **CRG 9**

13.0 PROJECT HOST INSTITUTION CONTRIBUTION TO THE PROJECT

14.0 List facilities available at your institution that will be available for the project

15.0 OTHER SOURCES OF FUNDS FOR THE PROJECT

16.1 List any other funds that you or your institution have obtained or applied in relation to this project

Donor	Time frame	Purpose	Amount (Tshs)

16.2 If you have co-funding for your research, please give details of why NFAST support is needed to complement your other support

17 Fuel must be calculated to cover round trip to the study nearest town plus 30 litres per day within the study area.

17.0 CURRICULAM VITAE OF APPLICANTS: (The curriculum vitae of the project staff should be adequately detailed so as to reflect competence of the researchers to carry out the- project - to be filled the research team members (to be sent as an attachment- see details on CRG 3 form)

18.0 SIGNATURE AND DECLARATION OF THE APPLICANTS (PI & Co-PI only)

I/we have read and understood the guidelines and hereby declare that the information given is true to my/our understanding.

Name of the Principle Investigator (PI)

Signature _____

Name of the Co-PI

Signature _____

DECLARATION OF HOST INSTITUTION

I, ----- (the Head of the Project Proposal Host Institution), declare:

- That the above named PI/ is an employee/attached to my Institution
- That the Institution supports this application and will make its resources available for the duration of the project if he/she receives the NFAST grant

(Institution's official seal)

Head of Institution's signature: _____

Date: _____

Official position: _____

7.11 Research Application - Budget Template (CRG10)

1. Equipment (specify and describe each item)			
	Quantity	Unit Price (Tshs)	Total Cost (Tshs)
Equipment 1			
Equipment 2			
Equipment 3			
Estimated freight charges, insurance, tax for items to be imported			
Sub-total			
2. Expendable supplies			
<input type="checkbox"/> Reagents			
Type 1			
Type 2			
Type 3			
<input type="checkbox"/> Drugs			
Type 1			
Type 2			
<input type="checkbox"/> Stationery			
Sub-total			
4. Travel cost			
<input type="checkbox"/> Fare round trip			
<input type="checkbox"/> Fuel			
Sub-total			
5. Personnel (field work, laboratory work data, management analysis and reporting)			
➤ Research team members (man days)			

➤Laboratory Technicians (man days)			
➤Research assistants (man days)			
➤Laborers (man days)			
Sub-total			
6. Dissemination of results			
Sub-total			
7. Capacity building costs			
➤MSc			
➤PhD			
➤Field attachment			
Sub-total			
8. Other costs (specify details)			
Sub-total			
GRAND TOTAL			

(Please include the Budget Justification after the budget, please see sample of details below)

a. Budget Justification

The developed detailed budget under part (i) above should be supported with the detailed budget justification. The grantee, in collaboration with the NFAST grants management unit must develop a written budget line - item justification to attach to all budgets included in the proposals. The budget justification should provide a detailed listing of information related to each line item in the budget, according to the following guidance:

Equipment: An explanation of why the equipment requested is necessary based on the planned activities to be implemented, as supported by copies of quotes related to procurement.

Supplies: An explanation of why the supplies requested are necessary based on the planned activities to be implemented.

Travel: Explanation of travel costs, including information regarding personnel (names and titles) that will be traveling to planned meetings or seminars and any additional expenses (e.g., the cost for airfare, car rental, fuel, hotel, and per diem).

Personnel: A listing of the actual personnel working on the project and their job responsibilities, rate of pay, and number of hours to be worked per week and for the budget period (level of effort).

Fringe Benefits: Any additional information or explanation needed related to the fringe benefits claimed in the budget, including a breakdown of the elements in the fringe rate and how they are calculated.

Contractual: A detailed explanation of the following information for each non-employee professional individual or independent organization/company providing services to the grantee:

- Contractor name (may be generic, e.g., trainer, attorney)
- Method of selection
- Period of performance
- Method of accountability
- Itemized budget
- Justification

Other Costs: Budgeted amounts for rental of meeting rooms, utilities, and other miscellaneous costs, as supported by copies of quotes and invoices

Example: Salary Line Item Justification

Salaries TZS 1,500,000: Funds will support salaries for 1 Technician to advise the Research Advisor who are employed by SITE. He/ She will dedicate 100% of the time to the program.

7.12 Guideline for Reviewers of Research Proposals (CRG 11)

1. Introduction

The scientific peer review process in the context of Research, Science, Technology and Innovation, refers to the scientific validation of a research project and is a vital step in research project development. Peer review is a key quality control mechanism in influencing decisions regarding to funding of research proposals. It is expected that peer reviewers are active researchers, quality control inspectors, and should have a good understanding of what they are assessing. These guidelines have been developed to guide reviewers during the assessment of research project proposals. Reviewers' attention is drawn to the fact that quality research proposals should demonstrate scientific validity, innovativeness and authenticity. The reviewer should also ensure that recommended research projects link up with existing related national efforts and are of relevance to national development rather than duplicating such efforts. This guideline must be read in conjunction with other policies within COSTECH such as Conflict of Interest, Gender Policy, Environment policy.

Principles of peer review

Peer reviewing is an independent scientific process heavily dependent on the professionalism and trust of the reviewer. Failure on part of the reviewer to adhere to the highest standards of professionalism could impact negatively on scientific development as well as on researcher's professional and personal life. It is therefore important that

reviewers observe principles of integrity, confidentiality, equity, and they should be free from any vested interests.

a) **Integrity**

The reviewer is expected to observe principles of integrity; this includes honesty, professionalism, courtesy and fairness, objectivity, impartiality and independence.

b) **Confidentiality-**

The reviewer should not disclose the information in the proposals that s/he is reviewing; including all matters pertaining to the grading, comments and feedback from the reviewed proposal to any person/institution other than the committee responsible for the review process.

c) **Gender equity**

The reviewer should be conscious of her/his personal gender stereotypes that might affect the review process and manage accordingly. This means that applications are evaluated based on their merits using the provided criteria.

d) **Conflict of interests**

In the event that reviewer's personal affiliation to an institution, researcher/research team, funding agency, are likely to affect the review process s/he is obliged to declare conflict of interest.

2. **Criteria for Review**

Peer Reviewers will consider the following standard criteria in order to determine scientific validity of the research proposal under review:

- i. Relevance to the call
- ii. Strength/merit of the Principal Investigator and the research team members
- iii. Evidence of Capacity Building
- iv. Possibility of making impact to the Tanzanian society
- v. Novelty and originality
- vi. Scientific quality of the proposal
- vii. Feasibility of the proposed project

3. Deliverables and timeline

The reviewer is expected to review the proposal and provide feedback within a period of three weeks since receiving the proposal. The reviewer is expected to submit the following documents;

- i. A signed conflict of interest form before commence review
- ii. A filled assessment criteria form
- iii. Specific recommendation report (where necessary)

7.13 Evaluation of Open and Commissioned Research Grants Applications Form (CRG 12)

Title of the research proposal:

Name of Reviewer:

Institution:

E-mail Address.....

Mob (optional)

Evaluation Key:

100%-70%) - Recommended for funding

(69%-60%) - May be Recommended for funding

(59%-0%) - Not recommended for funding

Section 1: This section carries 70% of total grading

S/ N	Elements	Items to be considered during evaluation	Maximum Points that may be awarded	Points Awarded	Comments*
1	TITLE OF THE PROJECT	Clarity of project title- short, simple, precisely reflecting the basic objectives of the proposed research, easy to be understood by a person who is not an expert in the field	2		

2	SUMMARY	Introduction; research study/design; problem statement; justification and rationale; objectives; methodology to be employed; expected findings; dissemination plan of the results; budget estimates; and number of word not more than 500	5		
3	BACKGROUND & LITERATURE REVIEW (state-of-the-art)	Description of existing knowledge: Justification/rationale; research question/problem statement; description of the existing knowledge about the problem; knowledge gap intended to be addressed; hypothesis to be tested; includes citation of recent and relevant publication/literature	10		

4	BROAD OBJECTIVES	Strategic goal(s)	3		
5	SPECIFIC OBJECTIVES	Are the study objectives SMART (Specific, Measurable, Achievable, Realizable and Time bound); OR are the objectives well stated? Are they Achievable?	3		
6	METHODOLOGY- Selection & adequate description of methodology	Research study/design including implementation plan Justification of the choice of study area. Describe the socioeconomic and demographic characteristics of the proposed study area; Justification of study population, describe the sampling frame;	20		

		<ul style="list-style-type: none"> . Description of the population from which the study sample is to be drawn; Description of the sampling procedures including size . Description of selection/inclusion/exclusion criteria; . Methods/techniques of data collection and their justification (e.g. questionnaires, laboratory analysis procedures key information interviews <p>7.Ethical considerations (protection of human and environment with reference to relevant authorities such as NIMR,</p>			
--	--	---	--	--	--

		<p>TFDA, AFIRI etc)</p> <p>8.Evidence of Capacity building (such as long term training, mentorship, short term eg transfer of skills to local staff eg managing equipment/conducting</p> <p>9. Quality assurance mechanisms (overall quality research process and linkage to gender considerations</p> <p>.</p>			
7	DATA MANAGEMENT AND ANALYSIS PLAN	<p>1. Proper Description of data and methods of analysis (Includes any electronic packages for processing</p>	5		

		and analyzing the data)			
8	BUDGET	1. Items being requested for funding adequately listed and justified	4		
9	NOVELTY ORIGINALITY	<i>Prospect of new or significantly improved knowledge or methodology, marketable products- IPR; innovative application of methodology and technology, compared to existing technologies & approaches.</i>	15		
10	DISSEMINATION PLAN	Description of research disseminating plan and its feasibility such as publication, policy briefs, project briefs, conference presentations and workshops	3		
		Total	70		

Section 2: Reviewer's comments (30%)

S/N	Considered Elements <i>Scale:</i> <i>Poor</i> = 2; <i>Fair</i> = 4; <i>Good</i> = 6; <i>Very good</i> = 8; <i>Excellent</i> = 10	Guiding questions	Max Points that may be awarded	Points Awarded	Comments*
1.	Relevance to the call	<i>Is the submitted application relevant to the call</i>	3		
2.	Strength/merit of the Principal Investigator and the research team members	<i>Skills and relevance to the proposed research project</i>	4		
3.	Evidence Capacity Building	<i>Human & research facilities development; Human: mentorship/ coaching long term training, transfer of specific skills such as performing lab procedures,</i>	3		

		<i>research facility: strengthening of IT facilities, library</i>			
4	Resource Availability for Implementation of the Project	Are resources required for implementation available/ accessible within the timeframe proposed for the project (Located either within the institution or accessible in collaborating institution)	3		
5	Possibility of making impact to the Tanzanian society	<i>gender equality/equity, economic, efficiency, productivity, improved national policies, guidelines, tools for improving production or delivery of goods & services</i>	7		

Note

- *All reviewers are required to submit technical comments in each section and overall comments for the scores awarded.*
- *Any evaluation presented without comments will not be counted for selection processes.*

7.14 Pre - award Assessment Form (CRG 13A)

Purpose	The purpose of this assessment is to collect information about an organization's capacity to manage and/or receive grant funds prior to issuance of a grant award document. Information may also be used to plan monitoring activities and/or identify technical assistance need to strengthen operations.			
Host Institution:				
Address:				
City:				
Website				
Email:				
Telephone				
Date:				
A.	LEGAL STATUS			
		Yes	No	Comments
1	What is the legal status of the organization? How is it registered and with who? Please provide a certified copy of registration			

	documents for the organization plus any Memorandum or Articles of Association			
2	<p>Does your organization have a governing Board that is separate from its executive management?</p> <p>Please provide list of current membership of your governing board.</p>			
B	GENERAL INFORMATION			
1	<p>a. What is the type of organization? Please specify:</p> <p>b. NGO, FBO, CBO, local governmental, local parastatal, local university, international agency?</p>	Yes	No	Comments
2	On what date was the organization formed?			
3	What is organization's mission? (If there is a written mission statement, please obtain a copy)			

4	Does the organization have legal standing and authority to engage in the activities proposed in the project?			
5	Is the organization independent or a part of a larger organization? If part of a larger organization, provide the full name of the organization, address, and contact person.			
6	What is the organization's fiscal year?			
7	Briefly describe the organizational structure. Attach a copy of the organizational chart. Determine the department directly responsible for the implementation of this project.			
8	Has your organization received a government/donor's grants award in the last 2 years?			
9	If Yes; How many from the			

	Government _____ of Tanzania? _____ And how many from other _____ sources?			
10	Has your organization been suspended or debarred from receiving donors grant funding?			
C	TECHNICAL CAPACITY	Yes	No	Comments
1	Can you confirm that you have a track record of staff, while employed at the organization, leading or co-leading research/innovation projects in the previous five years? Please provide a brief outline of the three biggest projects you are currently or recently have led or co-lead on.			
2	What is the arrangement of the finance team which will be supporting this project?			

	Please give details of how many individuals at each level, their role and their relevant qualifications and experience.			
3	Availability of qualified human resource for research/innovation management			
4	Availability of any patents, product development and new technologies from previously funded projects in the past 5 years			
5	Collaboration with other institutions in research/innovation			
	a) Local (How many? _____)Fr			
	b) External (How many) _____)			
	Largest amount of money ever handled with regard to research/innovation _____			

6	Are there any project components which require legal authorization or certification which is not part of the project activities? (for example some data cannot be collected without authorization by TBS)			
7	Are there any project components which require IP protection which is not part of the project activities?			
8	Are there any form of registration of the Grantees(innovators) and Host institution (evidence is needed)			
9	How the grantee(innovators) is recognized by the LGAs (form local level to district level) evidence is needed			
10	Have team members/key partners signed disclosure (confidentiality) agreements?			

D. FINANCIAL MANAGEMENT				
		Yes	No	Comments
1	Do you intend to receive the grant into a central pooled bank account shared with other grant receipts, or do you have an account specifically for this grant?			
2.	How frequency is reconciliations of income against expenditure is done?			
3.	Any accounting system in place? Specify which one _____ —			
4	How is expenditure on research/innovation grants monitored?			
6	Does the accounting system completely and accurately track the receipt and disbursement of grant funds?			
	Are accounting entries and expenditures supported by appropriate documentation?			

7	Are there defined scopes of work and line items in the accounting system for grant funds?			
9	What kind of financial reports are available? To whom and how often are they issued? Please provide a copy of the latest management accounts or internal financial reporting available			
10	What procedures are in place to prevent ineligible costs being charged to research grants? How is it monitored?			
E. INTERNAL CONTROLS AND GOVERNANCE				
		Yes	No	Comments
1	How is grant management administration organized and who has overall responsibility for the management of research/innovation grants?			
2	Regarding separation of duties; Does the grants			

	manager handle any cash functions?				
3	Regarding signing/approval of cheques; is this done by individuals whose duties include cash received, payment vouchers, and payroll?				
4	Regarding procurement procedures; Are these consistently applied in all institutional operations?				
8	Please confirm that you have policies and procedures in place that cover the following, providing copies of the documents or links to a website where the information is hosted. i. Risk management policy/strategy; ii. Anti-fraud, corruption and bribery; and iii. Whistleblowing iv. Research			Policy	Web link
				Risk management policy/strategy	
				Anti-fraud, corruption and bribery	
				Whistleblowing	
				Research Integrity/Ethics	
				Equality and Diversity	
				Data Management	
				Financial Regulations	
				Conflicts of Interest	
				Procurement	
				ICT	
				IP	

	<p>Integrity/Ethics</p> <p>vi. Equality and Diversity</p> <p>vii. Data Management</p> <p>viii. Financial Regulations</p> <p>ix. Conflicts of Interest</p> <p>x. Procurement,</p> <p>xi. ICT</p> <p>xii. IP</p>			
9	What is the process for reviewing these policies and how often are they reviewed?			
10	How are these policies communicated to staff and how is staff awareness maintained?			
11	Do you maintain a risk register? How often is it updated and by who? Please provide details of any risks that could have a big impact on grant funding if the event occurred and any steps taken to mitigate them.			

12	<p>Have there been any formal cases of fraud or suspected fraud involving your institution and any Research/Innovation Funding bodies in the last five years?</p> <p>If so, please provide details including how these were investigated; to whom they were reported and whether there was any financial loss.</p>			
13	<p>Are there any current, pending or threatened litigation or arbitration proceedings (whether as a claimant or a defendant), any prosecution or inquiry pending by a government or official body?</p>			
15	<p>Have there been any formal investigations of research/innovation misconduct involving member of staff (Researchers/innovators) in the last three years?</p> <p>If so, please give</p>			

	further details including academic year, the number of formal investigations completed and of those, how many were upheld.			
16	<p>Are you subject to independent annual audit?</p> <p>If so, who are your external auditors? Please provide a copy of your most recent audit report.</p>			
17	<p>Do you have an internal audit service (either internally or using external contractors)?</p> <p>If so please identify the provider, and the approximate number of days per year. Please provide a copy of your most recent audit report.</p>			
18	To whom does internal audit report?			
19	<p>How regularly does audit review research/innovation grants administration? Does this include</p>			

	scrutiny of expenditure charged to individual research/innovation grants to ensure compliance with Commission terms and conditions?			
--	---	--	--	--

Additional controls or requirements on grantees that are deemed to success the project:

- What are the qualifications of a mentor for the project?
- Can host institution provide the potential mentor?
- If yes, what are the requirements for official engagement?

- If not, what are the alternatives?

- Observe and comment on physical location/office, existence and quality status of key facilities, existence and legal status of important documents and any other items mentioned in the project proposals.

Conclusion/Key Findings

What are the major gaps (technical, financial and legal) that need attention before start of the project?

What are potential risks and mitigation strategies that need close follow?

Risks:

Mitigation:

Enclosed Document Checklist

A summary of the information you need to reference as part of this application.

Please Note: This can be in the form of a copy or a link to where the document is held.

Document	Enclosed	
Last 3 years Audited Financial Accounts	Y	N
Evidence of Legal Status		
Memorandum/Articles of Association		
External Audit report		
Internal Audit Report Anti- Fraud/ Corruption/Bribery Policy		

Scientific Misconduct Policy		
Ethics/Integrity Policy		
Risk Management Policy Whistle-blowing Policy		
Equality & Diversity Policy		
conflicts of Interest policy		
Latest Audit Findings Report		
Letter of Good Standing from your bank		
Procurement Policy		
Financial Regulations		
IP Policy		

Declaration

All research/innovation grants are subject to the Commission's Terms and Conditions.

The Grantee name

signature date.....

The Guarantor's name:

signature date.....

The assessor name.....

signature date.....

The assessor name:
signature date.....

The assessor name:
signature date.....

The assessor name:
signature date.....

7.15 Format of the Pre-Award Assessment Report (CRG13B)

The report should be narrative distributed in the following sub-parts.

- PART A: INSTITUTION BACKGROUND INFORMATION**
 - Name and Date of establishment
 - Mission
 - Vision
 - Strategic objectives if any

FINDINGS AND RECOMMENDATION ON ISSUES FOR INTERVENTION/ CONSIDERATION BEFORE FUNDING.

SN.	FINDINGS	RECOMMENDATIONS
-----	----------	-----------------

1.	PART B: ORGANISATIONAL ASSESSMENT B.I: LEGAL STATUS B.II: GENERAL INFORMATION	
2	INSTITUTION'S TECHNICAL CAPACITY AND PROJECT RELEVANCE	
3	PART D: FINANCIAL ASSESSMENT AND GOVERNANCE D.I: FINANCIAL MANAGEMENT D.II: INTERNAL CONTROL AND GOVERNANCE	
4	Sustainability Plan (For HUBS)	

Prepared by:

1. Name _____

Sign _____ Date: _____

2. Name _____

Sign_____Date: _____

3. Name _____

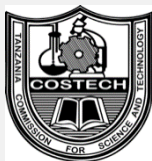
Sign_____Date: _____

4. Name _____

Sign_____Date: _____

N.B: Each institution visited should have its own report based on this format

7.16 Research Grants Agreement (CRG14)



**RESEARCH GRANT AGREEMENT
BETWEEN
TANZANIA COMMISSION FOR SCIENCE AND
TECHNOLOGY (COSTECH)**

AND

NAME OF THE PI

AND

NAME OF THE HOST INSTITUTION

DRAWN BY:

Tanzania Commission for Science and Technology,
COSTECH Building, Ali Hassan Mwinyi Road,
Kijitonyama,
P.O. Box 4302,
DAR ES SALAAM

RESEARCH GRANT AGREEMENT

Project Number:

Project Title:

This Agreement is made thisday of 2019

BETWEEN

The Tanzania Commission for Science and Technology (COSTECH) of P.O. Box 4302, Dar es Salaam (hereinafter called the “**Grantor**”, which expression shall where the context so admits includes its assigns and successors) of the one part.

AND

Prof/Dr/Mr/Ms/Mrs..... (PI) of P.O. Box, (hereinafter referred to as the “**Grantee**”) of the other part.

AND

Institution name..... of P.O. Box, (hereinafter referred to as the Guarantor) of the other part.

WHEREAS the Grantor is willing and has accepted to disburse research funds to the Grantee as grant.

AND WHEREAS the Grantee is the Principal Investigator of the research project and is desirous of obtaining research funds from the Grantor that are to be expended in accordance with the terms and conditions of this Agreement.

WHEREAS the research funds disbursement will be done through the Guarantor's bank account.

AND WHEREAS the Guarantor is willing and has agreed to guarantee the Grantee and act as Project Host Institution and for the assurance of the project implementation and completion by the Grantee.

NOW THEREFORE IT IS AGREED AS FOLLOWS:

1. FUNDS DISBURSEMENT

- 1.1 The Grantor shall provide to the Grantee a research grant of TZS.....(in words) only (hereinafter referred to as "the Research Funds") in respect to the above project
- 1.2 The Grantor shall disburse the research funds in installments; the first installment payable within fourteen days upon the receipt of a dully signed agreement between the Grantor, Grantee and Guarantor.
- 1.3 The research funds shall be disbursed by the Grantor to the Grantee through the Guarantor's bank account with the following

Name and address of the Bank:
Bank Account Number:
Name of the Account:
Branch:,

- 1.4 The funds will be disbursed by the Guarantor to the Grantee subject to the fulfilment of the intended project purposes and attaining of the milestones described in the Inception Report annexed to this Agreement, and the research funds shall not be subjected to any deductions including what is commonly termed as institutional administrative fee, regardless of the prevailing institutional internal policies of the Guarantor.

2. ROLES AND RESPONSIBILITIES OF PARTIES

2.1 Roles of the Grantee

The Grantee shall:

- 2.1.1 Provide the Grantor with Bank Account Details where direct transactions of the research funds shall be deposited.
- 2.1.2 Notify the Grantor in writing of all payments made into his bank account by the Guarantor in respect of the research funds, and attaching copies of payment advices.
- 2.1.3 Implement the project in accordance with Grantor's Grants Manual and any other legislation, Government circulars and policies in force.

2.1.4 Submit progress research reports to the Grantor in the manner and within specified periods as follows:

2.1.4.1 That the Grantee shall submit and furnish the Grantor with:

- a) Quarterly Progress Technical Reports in the manner prescribed in Form CRG 15 annexed to this Agreement.
- b) Quarterly Progress Financial Reports in the manner prescribed in Form CRG 16 annexed to this Agreement.
- c) Such reports shall be counter-signed by the Grantor within two weeks after the end of each quarter or milestone.

2.1.4.2 That the Grantee shall submit and furnish the Grantor with final research report within thirty days after completion of the research project. Such report shall be counter-signed by the Grantor. .

2.1.4.3 That progress reports shall reflect achievements of the objectives of the project and where applicable future plans.

2.1.4.4 That at the end of the project the Grantee shall come up with dissemination material(s) such as a policy brief, documentary or any other tangible output that shall be submitted hand in hand with the final research report.

2.1.4.5 That the final research report shall be in the format prescribed in Form CRG 20 annexed to this Agreement, and shall include the following:

- i. A comprehensive analysis of all collected data and the obtained results;
- ii. A description of how the project has contributed to the furtherance of science, technology, innovation and socio-economic development;
- iii. A description of how the project has addressed the intended objectives;
- iv. A description of how the project has played a role of capacity building in the research atmosphere;
- v. Dissemination and utilization of the research results and providing a list of targeted end users and beneficiaries;
- vi. A comprehensive list of activities under the grant, such as participation in Science, Technology and Innovation conferences and seminars, paper published, products developed and acquired patents, if any; and

vii. Financial expenditure report prepared in the manner prescribed in Form CRG 21 annexed to this Agreement, certified by the Guarantor and attached with copies of receipts and payment vouchers.

2.1.5 Allow the Grantor to conduct Monitoring and Evaluation and Performance of Value for Money Audit when deemed necessary.

2.1.6 Provide any records, document or information on visits of project locations and property or goods which will assist with the monitoring and evaluation process.

2.1.7 Declare in writing any other fund support that received from other donor(s) to support the same project.

2.1.8 Use the grant for the intended purposes for which they are budgeted for and to properly account for the same.

2.1.9 Enter into the Guarantor's ledger all equipment or facilities purchased under the grant and handle them over to the Guarantor at the end of the project.

2.2 Roles of Grantor

2.2.2 The Grantor shall disburse research funds as provided and agreed in this Agreement, and upon satisfaction of the conditions stipulated in Part 1 of this Agreement by the Grantee.

Provided that the Grantor shall not pay for any variance, including extensions of the project, without prior agreement.

2.2.3 The Grantor shall monitor the compliance and performance of the project based on this Agreement, and progress of the project will be measured through the agreed performance indicators prescribed in Form CRG 15 annexed in to this Agreement.

2.2.4 The Grantor may visit Grantee's institutions for an onsite monitoring of the project once every three months to discuss project progress with the heads of the institutions and researchers collaborating with the Grantee.

2.2.5 The Grantor may suspend the project upon being satisfied with the recommendations from the monitoring team that there has been a breach of the terms and conditions of this Agreement pending further decision by Grantor's management.

2.3 Roles of Guarantor

The Guarantor shall:

2.3.1 Be the Grantee's guarantor in relation to administering and managing the research funds provided by the Grantor in the following manner:

- a) Ensure that the research funds are properly used for the purpose for which they intended and budgeted for and in accordance with the Work Plan annexed to this Agreement.
- b) Ensure the research funds expended by the Grantee are properly accounted for.
- c) Return to the Grantor all unspent sums of the research funds in the event where the Grantee cannot proceed with the work or the project terminates for any other reason.

2.3.2 Be responsible for monitoring implementation progress and performance of the project and the achievement of its expected outputs and outcomes.

2.3.3 Ensure that both financial and technical reports are prepared and submitted to the Grantor in accordance with the provisions of this Agreement.

3. INTELLECTUAL PROPERTY

3.1 The Grantee declares that if the research project results into any Intellectual Property, the standing institutional Intellectual Property Rights Policy of the Guarantor shall apply.

- 3.2 In the absence of Intellectual Property Policy of the Guarantor, the Grantee and the Guarantor shall seek the Grantor's guidance regarding intellectual property protection.
- 3.3 In the event of collaborative research involving transfer of materials between the Guarantor and other partners, Material Transfer Agreement shall be signed between the two parties and a copy of the agreement deposited with the Grantor.

4. BREACH, REMEDIES AND TERMINATION

- 4.1 In the event of non-compliance by the Grantee with the provisions of this Agreement the Grantor reserves the right to exercise remedies that include the following:
- i Withholding further disbursement and or reduction of new disbursements;
 - ii Demand refund of disbursed funds from the Guarantor and or Grantee and termination of its support to the research project;
 - iii Demand the return of unspent funds;
- 4.2 In the circumstance where by the project was not indicate the value for money for the agreed specific project, grantor has reserve the right to demand the grantee though the guarantor to return the spent money;
- 4.3 In the circumstance where it is reported or discovered that the same project objectives have been funded by a different funder, the contract shall be terminated and the host institution shall be required to refund the entire project costs.

- 4.4 The termination of this Agreement shall be effected after the elapse of a thirty-day notice issued by the Grantor to the Grantee. Provided that in a case of a breach of a material term of the Agreement the Grantor shall terminate the Agreement with immediate effect and the Guarantor and Grantee shall reimburse the funds already disbursed by the Grantor.
- 4.5 In cases of termination by the Grantor, the termination shall not apply to funds irrevocably committed in good faith by the Grantee to third parties before the date of the notice of termination, provided that the commitments were made in accordance with the provisions of this Agreement.
- 4.6 Any termination shall be done by written notice of termination.

5. ENTRY INTO FORCE AND DURATION

This agreement shall be effective from the date the Grantee receives the first installment of the research funds, and it shall remain into force for the entire project duration of 24 (twenty four) months from that date.

6. APPLICABLE LAW AND DISPUTE SETTLEMENT

- 6.1 The Laws of the United Republic of Tanzania shall govern the construction, interpretation and enforcement of this agreement.
- 6.2 In the event of a dispute arising between the parties in respect of any matter contained in this agreement the

aggrieved party shall notify the other in writing and within reasonable time about the existence and nature of the dispute. The Parties to this Agreement shall negotiate and resolve the dispute amicably and in good faith as expeditiously as possible. Should the parties fail to resolve the dispute in the manner aforesaid a neutral person shall be appointed as a mediator to resolve the dispute, and failure of which recourse shall be made to the Court of Law of competent jurisdiction to resolve the dispute.

7. REVIEWS AND AMENDMENT

This Agreement shall not be amended or modified or reviewed except by way of mutual agreement and in writing executed in that behalf by all Parties.

8. AUTHENTICITY

This Agreement may be executed in counterparts, each of which shall be deemed to be the original document and all such counterparts together shall be deemed to constitute a single document

9. NOTICES

Any notice or other document to be served under this Agreement must be delivered by hand or sent by registered mail through the addresses below:

FOR THEGRANTOR:

The Tanzania Commission of Science and Technology,
COSTECH Building,

Ali Hassan Mwinyi Road, Kijitonyama,
P.O. Box 4302,
DAR ES SALAAM

Attention: Director General.

FOR THE GRANTEE:

Prof/Dr/Mr/Ms/Mrs(PI).....,

Name of the Institution,.....

Plot No.....,

P.O. Box:,

Region:

FOR THE GUARANTOR:

Name of the Institution,.....

Plot No.....,

P.O. Box

Region:

Attention: Vice Chancellor.

10. DECLARATION

IT IS HEREBY DECLARED by both the Guarantor and Grantee that they have all read and understood the conditions and guidelines governing the granting of research funds by the Grantor as contained in this Agreement and the Grantor's Research and Innovation Grants Manual, and that they do undertake to abide by them.

IN WITNESS WHEREOF the Parties through their duly authorized representatives have executed this agreement on the day and date set out below, and certify that they have read, understood and agreed to the terms and conditions of this Agreement as set forth herein.

THE GRANTOR: The Tanzania Commission for Science and Technology (COSTECH)

Name:

Designation:

Signature:

Date:

Witnessed by:

Designation:

Signature:

Date:

THE GRANTEE:

Name:

Designation:

Signature:

Date:

Witnessed by:

Designation:

Signature:

Date:

THE GUARANTOR:

Name:

Designation:

Signature:

Date:

Witnessed by:

Designation:

Signature:

Date:

7.17 Progress Technical Report (CRG15)

For the quarter (state months e.g. July – Sept 2017)

The reporting requirements are stated in the “General Conditions for Grants to Research Support through COSTECH”. The title, specific conditions etc. for each project are as stated in the letter of grant.

1	PROJECT	
	Project title	
	Project Registration Number	
2	Principal Investigator	
	Name	
	Title	
	Contacts: Phone # & E-mail	
3	Responsible Institution	
	Name	
	Address	
	Contacts: Phone # & E-mail	
4	Partners	
	Name	
	Address	
	Contacts: Phone # & E-mail	
5	Time Frame	
	Project period(approved start and end date)	
6	OBJECTIVES	
	Overall Objective	
	Objective of Current Phase: (Describe what was intended to	

	be implemented in the current phase)	
7	Progress of the project during the quarterly	
	Describes the progress made towards the fulfillment of the approved objectives	
	Describe the progress made in reaching the outputs /results	
	Describe the progress in terms of research capacity building	
	Describe the status of the project managements and partnership	
8	Substantive Changes	
	Have any of the involved institutions and/or responsible persons been changed? If so, please list the changes, the action taken and consequences	
	List any new factors possibly affecting the achievement of the objectives in the future and describe how the project will address them	
9	Statements and Permits	
	<p>Affirm that the required research permits, ethical approvals and authorizations in partner country/countries and in Tanzania were in place before the start of the activities.</p> <p>List any new approvals/authorizations obtained during the quarter and explain the status for any documents still not obtained.</p>	

10	Lesson learnt	
	Describe lessons learnt, including positive experiences or solutions of interest for other research projects.	
	Describe the progress made of the dissemination (if any) activities during the quarter	

The Principal Investigator (PI) and the head of institution herewith confirm that the information given in the quarterly report is correct:

Name of the PI: **Signature:** **Date:**

Head of Responsible Institution

Name: **Signature:** **Date:**

7.18 Progress Financial Expenditure Report Form (CRG 16)

CERTIFIED QUARTERLY EXPENDITURE REPORT (CQER)

PI's Affiliated Institution/ Guarantor's Name

PI's name.....

Title of the project

Location

Period from to

1	Approved annual budget (Tshs)							
2	Funds Summary (Attach pending official funds receipts)	Receipts	S/N	Date when funds were received TZS		Amount Received TZS		
						TOTAL		
3	Actual expenses (must correspond with the annual activities) and balance in Tshs							
	Category	Approved Annual Budgeted	Total Disbursed	Total Spent last periods	Total Spent this period	Cumulative Exp to date	Cash Balance	Budget Balance
		a	b	c	d	e	(f=b-e)	(g = a-e)
	Equipments							
	Recurrent cost							
	supplies							

	travel							
	Services							
	Indirect cost							
	Total	xxx	xxx	xxx	xxx	xxx	xxx	xxx
4	Variance Report (explanations for deviations from the approved budget)							
	Expenditure Details (as per final funded budget)	Approved Budget TZS	Actual TZS	Variance TZS	Comment s- Reasons for Variance			
	Equipments	XXX	XXX	XXX				
	Supplies	XXX	XXX	XXX				
	Travel	XXX	XXX	XXX				
	Total							
	Revenue Details (as per final funded budget)	Approved Budget TZS	Actual TZS	Variance TZS	Comment s- Reasons for Variance			
	Equipments	XXX	XXX	XXX				
	Supplies	XXX	XXX	XXX				
	Travel	XXX	XXX	XXX				
	Total							
	Surplus/ Deficit XXX XXX XXX							

I declare that the expenditure above were made according to the clauses and conditions of the signed Contract between

and COSTECH, and that all the documents related to these expenditures are maintained and available for auditing purposes.

I also confirm that true copies of payments have been submitted to COSTECH to support payments including Payment Vouchers, receipts, reports, meeting minutes, invoices, fuel logbooks, transport tickets, signed attendance, signed playlists, Asset log and other relevant documentations for the project. I also confirm that all originals of the copied documents above must be retained on file at the PI’s affiliated institution as evidence for future reviews and audits. I certify that all funds have been used in accordance with the purposes for which the funds were provided and that the Institution has complied with the terms and conditions of the Contract.

Name:.....Title:.....
Signature:.....Date.....

Project Accountant

Name:.....Title:.....
Signature:.....Date.....

Principal Investigator

Name:.....Title:.....
Signature:..... Signature & Official Stamp:
Date.....

Guarantor (Head of PI’s Affiliated Institution)

Name:.....Title:.....
Signature:..... Signature & Official Stamp:
Date.....

Reviewed by NFAST COORDINATOR

Name:.....Title:.....
Signature:..... Signature & Official Stamp:
Date.....

Authorized by Director General- COSTECH

7.19 Technical Monitoring & Evaluation Tool (CRG17)

Project No and Title:		
Name of PI:		Contract date Start: _____ End:
Host Institution:		Contract Amount Disbursed: _____ Balance:
Collaborating Institution:		
M&E Team 1. 2. 3. 4. Date:		
Section 1: Technical Checklist		
Approved Objective (As stated in the approved proposal and inception report)	Revised Objective (if any)	Reasons for Review
Overall Objective:		
Specific Objective 1:		
Specific Objective 2:		

Approved Work plan	Revised Work plan	Reasons for Review
Approved Methodologies	Revised Methodologies	Reasons for Review
Project Personnel (as stated in approved proposal)	Changes in Project Personnel	Reasons for change
Planned Activities and Implementation Progress		
Objective	Progress (technical narrations with key results, indicators, time and output)	
Overall assessment as to whether objectives of the project will be achieved /have been achieved		
Is the project likely to achieve its major objectives efficiently? Will the achievements make a difference?		

Factors affecting Implementation of project and measures taken		
Factor	Action taken/ to be taken	
Planned outputs as per final proposal	Actual outputs achieved	Reasons for variance if any
Description of Outcomes		
Impacts realized by the project (captures changes induced by the project in qualitative /quantitative terms)		
Sustainability of project benefits beyond project cycle (actual/ anticipated)		
Potentials of upscaling		

Section 2: Budget, Funding and expenditure of financial resources for support of the project				
	Yes	No	N/A	Comments
1. Have budget adjustments been made?				
2. Is there a budget variance greater than 10% per category?				
3. Do expenses have supporting documentation?				
4. Are the financial records in accordance with accepted institutional regulations (audited/ signed by the relevant authorities)?				
5. Is the disbursement effected timely after financial and technical reports submission to COSTECH?				
6. Has approved equipment been purchased?				
7. Were procurement procedures observed?				
Where goods and services were procured assess whether the expenditure(s) have value for money				
What is the disbursement flow of funds? Indicate the proportion of disbursement to the date of visit.				

Section 3: Reports				
	Yes	No	N/A	Comments
1. Are ALL required reports timely submitted to COSTECH?				
2. Quarterly Progressive Technical Report				
3. Quarterly Progressive Financial Report (with supporting documents)				
4. Final Technical Expenditure Report				
5. Final Financial Expenditure Report				
6. Value for Money				

Section 4. Overall Assessment of Project and recommendations (*please circle*)

- (i) not continue;
- (ii) continue subject to minor adjustments;
- (iii) Project to be suspended with further assessment;
- (iv) continue as it is
- (v) Return unspent funds
- (vi) Return misused funds

Justification for recommendations above (i-vi)

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7.20 M&E Reporting Format (CRG 18)

[illegible]

7.21 Financial Monitoring For Research Grants (CRG19)

The following questions will guide the financial monitoring of the innovation and track the impacts of innovation grants.

Project title
.....

PI
.....

Address:Cell: Email:
.....

Name and Address of Affiliated Institution

(if applicable).....

Grant Amount

Amount Disbursed

Balance

GRANT –FINANCIAL MONITORING GUIDELINES		Date Report Completed:		Visiting Staff:
Grantee’s Project Name:			Grantee Ref #:	
Topic Area	Yes	No	N/A	Recommendations /Comment
A. Program Operation				
1. Are project goals attainable in this grant period?				
2. Is the project progressing on schedule?				

3. Is the project functioning as described in application?				
4. Has there been a change in Primary Contacts?				
5. Do Progress Reports describe project activities?				
6. Is data provided to support project “goals/outcomes”?				
7. Is compliance with required training documented?				
8. Are there <i>Segregation of Duties</i> between fiscal & program?				
9. Is sub-recipient involved in lobbying activities?				
10. Is sub-recipient compliant with terms of previous awards?				
11. Have all <i>Special Conditions</i> of award been met?				
12. Is there evidence of a change in project scope?				
B. Budget, Funding and expenditure of financial resources for support of the project				
1. Will Project Meet Budget Time Frame? If not, why?				
2. Have Budget Adjustments Been Needed?				

3. Do expenses have supporting documentation?				
4. What is the disbursement flow of funds for intended project/ intervention? Indicate the proportion of disbursement to the date of visit. Is the disbursement effected timely after financial and technical reports submission to COSTECH?				
5. Are the financial records in accordance with accepted institutional regulations (audited/ signed by the relevant authorities)?				
6. Where procurement of goods and services was effected assess whether the procurement procedures were observed.				
7. Assess procurement of goods and services in terms the impact. Was the expenditure value for money with regards our expectations				

8. Observe the distribution of funds on expenditure items such as diesel, per-diems etc				
9. Are Match Requirements being met? <ul style="list-style-type: none"> • Can grantee provide clear documentation of match? • What are the sources of the match? 				
10. Is there evidence of Supplanting to fund project?				
12. Is there a budget variance greater than 10% per category?				
13. Are grant funds routinely requested to meet obligations?				
14. Bank reconciliations are performed monthly?				

15. Value of In-kind contribution is supported by documentation				
C.PERSONNEL				
1. Are there Job Descriptions for ALL Grant-funded Positions?				
2. Are Time Sheets Maintained for ALL Grant Employees?				
3. Do hiring policies exclude related parties?				
D.TRAVEL				
1. Is Travel Documented by date, distance, locations, purpose & rates?				
2. Is mileage reimbursement paid at the official rate or less?				
E.SUPPLIES/OPERATING EXPENSES				
1. Have these been purchased according to budget?				
F.EQUIPMENT				
1. Has approved equipment been purchased?				

2. Was competitive bidding used to obtain equipment?				
3. Is equipment being used appropriately?				
4. Does grantee have current property control record on File?				
5. Does agency have physical inventory control procedures?				
6. Does the grantee have a separate fixed asset register for the project equipment?				
G.REPORTS				
1. Are ALL required reports timely submitted to COSTECH?				
<ul style="list-style-type: none"> Quarterly Progressive Financial Report (with supporting documents) 				
<ul style="list-style-type: none"> Quarterly Progressive Technical Report 				
<ul style="list-style-type: none"> Special/ Off-cycle Report (where needs be) 				
<ul style="list-style-type: none"> Final Financial Expenditure Report 				

• Final Technical Expenditure Report				
2. Are ALL required reports on grantee's file for reference?				
• Quarterly Progressive Financial Report (with supporting documents)				
• Quarterly Progressive Technical Report				
• Special/ Off-cycle Report (where needs be)				
• Final Financial Expenditure Report				
• Final Technical Expenditure Report				
H.PROFESSIONAL AND CONTRACTUAL SERVICES				
1. Have all contracts received PRIOR final approval?				
2. Does Contract outline work to be performed and does it comply with program objectives?				
3. Was copy of RFP & list of bidders provided and filed?				
4. Was competitive				

bidding used to obtain contract(s)?				
5. If Sole Source used, is approval on file?				
6. Is "Contractor" making regular & accurate billing?				
I.GOVERNMENT REGULATIONS				
1. Agency has a policy on how to handle discrimination complaints from employees and agency beneficiaries.				
2. Have there been any discrimination complaints within the past 3 years?				
3. Is the grantee suspended/debarred from participation?				
J.SPECIFIC ISSUES				
1. Is grantee collaborating with appropriate agencies?				
K. SUMMARY INFORMATION				
Visiting Staff's Assessment of Project, including Strengths, Problem Areas and Recommendations:				

7.22 Final Technical Research Report Template (CRG 20)

PREPARATION AND PRESENTATION OF RESEARCH PROJECT FINAL REPORT

1.1 Use of APA style

During the course of preparing manuscripts, researchers should use the **APA** style of referencing.

1.2 Typing

NB: Times New Roman 12 font must be used for the whole document.

- (i) The research project reports shall be printed on good quality A4 paper. This is to ensure clear copies. Typing must be 1.5-spaced and on one side of the paper only.
- (ii) Where appropriate, the Commission shall arrange for the **HARDBOUND** error free final Report document.
- (iii) For the purpose of proper handling of the Report, Researchers shall produce **three (3)** error free hard copies of the Report. Nevertheless, the report should also be presented in a soft copy (PDF) through the nfast@costech.or.tz.

1.3 **Pagination**

- (i) Paginate the preliminaries (pages preceding the Introduction Chapter) in lower case Roman

numerals (“i”, “ii”, ‘iii’, “iv”, etc.) beginning with the title page (Cover page bears no page numbers).

- (ii) Number the pages of the body of the Report in Arabic numerals (“1”, “2”, ‘3’, etc.) consecutively throughout.
- (iii) The page numbers should appear just below the centre of the lower margins.

1.4 Margins

- (i) The left-hand margin must be 4.0 cm from the left edge of the paper.
- (ii) The right-hand margin 2.5cm from the right edge.
- (iii) The top margin 4.0cm from the top of the page.
- (iv) The bottom margin 2.5cm from the bottom edge of the paper.

1.5 Cover and Title Pages

For samples of cover and title pages please refer to Appendices 1 (a) and 1 (b). However, the following information is important in preparation of the pages

The cover and title pages must be arranged as follows:

- a) Write the name “TANZANIA COMMISSION FOR SCIENCE AND TECHNOLOGY (COSTECH)” and its logo; in 14 Font size bold
- b) Write the main Title of the project report in **CAPITALS** (centred) in 14 points bold fonts. A subtitle should be written in **title case** (not italicised) format; in 14 Font size bold

- c) Just below the title, indicate the category of the report in brackets i.e (FINAL REPORT); in 14 Font size bold
- d) Insert your name at the centre of both the cover page and title page. The name should be in **title case** (not italicized) format, in 12 font bold.
- e) At the bottom of the title page Insert the following words “A Project Final Report Submitted to the Director General of the Tanzania Commission for Science and Technology (COSTECH)”, write the (Month and Year e.g February, 2018) of completion of the project.

1.6 Preliminaries

1.6.1 Acknowledgements

In this section the Investigators should acknowledge people or institutions that rendered support or other assistance, which made the execution of the research work possible (NB: The title of this section should read **Acknowledgements**).

1.6.2 Abbreviations.

1.6.3 Summary (single space and on one page only)

The section should be concise and clear. It should be on one page, not italicised and must contain the following items: (i) General and specific objectives of the research, (ii) Provide important/major findings/results achieved in relation to the research

objectives, (iv) Key message, recommendations and any policy implications if any.

1.6.4 Table of Contents

The table of contents should be analytical and correctly referring to specific pages of titles and/or sections and subsections appearing in the dissertation/thesis body. If there is to be a list of tables, or a list of illustrations/figures, each one of these lists should be on separate pages and arranged in the same format as the Table of Contents. Any “List of abbreviations and acronyms” should be arranged alphabetically.

1.7 Body of the report

Items to appear in the research project report:

Chapter One: Introduction and Background

- i. Title of a chapter- all chapters must have titles - (for chapter one the title is GENERAL INTRODUCTION
- ii. After the title of a chapter, have section 1.1 with a title named “Introduction” – all chapters must have this section- the section must be brief to introduce the chapter.
- iii. After the introduction section, have a section titled “introduction, background and *state of the art* including review of recent literature,” - this section should give background information to the research problem or knowledge gap. It is in this section where the researcher critically and briefly reviews the literature pertaining to

the problem. The section should unveil the state of the art of the knowledge of this specific area.

Chapter Two: Research Methodology and Designs

The chapter shall include the methodology adapted by the researcher to facilitate the research process. The chapter depending on the type and nature of the study, will compose of Introduction section (which introduces the purposes of the chapter), the approaches employed, design, study area, sample and sample size, types of data, the method for data collection,

Chapter Three: Data Presentation, Analysis and Discussion

In this chapter research findings shall be presented and discussed in relation to research objectives presented in Chapter One.

The researcher is expected to discuss the findings and relate them to relevant theories (whose use is justified).

If this chapter contains tables and figures see to it that captions of tables appear at the top of each one of them and for all figures captions are placed at the bottom. See to it that figures/numbers in a table are explained/given meanings.

Where hypotheses are tested, all hypotheses with their corresponding levels of significance, types of tests (e.g. t-tests), and values of statistics obtained (e.g. arithmetic mean or proportions), their computations and interpretations are clearly shown for easy examination by other readers.

Chapter Four: description of (or potential) impacts of the project, conclusion, recommendations and any possible up scaling

Chapter Five: Summary, conclusions, strategic recommendations and policy implications

In this chapter the researcher is expected to make a summary of the research findings, conclusions, strategic recommendations and policy implications.

1.8 References

In the references section, all quotations made/cited in the text must be shown and arranged in an alphabetical order. Each reference shall begin with the author's surname, initials, (year of publication), *title of the work in italics*, where published and the publisher.

1.9 Length of the report: the project report should contain a Maximum of 120 pages and a minimum of 75 pages.

7.23 Final Financial Expenditure Report Template (CRG 21)

The following questions will guide the financial monitoring of the innovation and track the impacts of innovation grants.

Project title

Address:Cell: Email:

Name and Address of Affiliated Institution (if applicable)

Grant Amount

Amount Disbursed

Balance

Period from to.....

1	Approved annual budget (Tshs)							
2	Funds Receipts Summary (Attach pending official funds receipts)	S/N	Date when funds were received TZS				Amount Received TZS	
							TOTAL	
3	Actual expenses (must correspond with the annual activities) and balance in Tshs							
	Categ ory	Approv ed Annual Budget ed	Total Disburs ed	Total Spent last period s	Total Spent this period	Cumula tive Exp to date	Cash Balanc e	Budg et Bala nce
		a	b	c	d	e	(f=b-e)	(g =

							a-e)
Equipments							
Recurrent cost							
supplies							
travel							
Services							
Indirect cost							
Total	xxx	xxx	xxx	xxx	xxx	xxx	xxx
4	Variance Report (explanations for deviations from the approved budget)						
	Expenditure Details (as per final funded budget)	Approved Budget TZS	Actual TZS	Variance TZS	Comments-Reasons for Variance		
	Equipments	XXX	XXX	XXX			
	Supplies	XXX	XXX	XXX			
	Travel	XXX	XXX	XXX			
	Total						
	Revenue Details (as per final funded budget)	Approved Budget TZS	Actual TZS	Variance TZS	Comments-Reasons for Variance		
	Equipments	XXX	XXX	XXX			
	Supplies	XXX	XXX	XXX			
	Travel	XXX	XXX	XXX			
	Total						
	Surplus/ Deficit XXX XXX XXX						

I declare that the expenditure above were made according to the clauses and conditions of the signed Contract between and COSTECH, and that all the documents related to these expenditures are maintained and available for auditing purposes.

I also confirm that true copies of payments have been submitted to COSTECH to support payments including Payment Vouchers, receipts, reports, meeting minutes, invoices, fuel logbooks, transport tickets, signed attendance, signed pay lists, Asset log and other relevant documentations for the project. I also confirm that all originals of the copied documents above must be retained on file at the PI's affiliated institution as evidence for future reviews and audits. I certify that all funds have been used in accordance with the purposes for which the funds were provided and that the Institution has complied with the terms and conditions of the Contract.

Name:

Title:Signature: Date.....

Project Accountant

Name:

Title:Signature: Date.....

Principal Investigator

Name: Title:

Signature& Official Stamp: Date.....

Guarantor (Head of PI's Affiliated Institution)

Name: Title:

Signature& Official Stamp: Date.....

Reviewed by NFAST COORDINATOR

Name: Title:

Signature& Official Stamp: Date.....

Authorized by Director General- COSTECH

7.24 Checklist For Screening of Innovation and Research Infrastructure (RI) Proposal (CRG22)

S/N	Item for consideration	Yes	No
1	Does the submitted proposal follow the provided format		
2	Does the submitted proposal has all required attachments i.e		
	2.1.Letter from the head of Institution		
	2.2.Detailed Institution profile		
	2.3.Detailed Institution profile		
3	Does the submitted proposal falls within call theme (where applicable)		
4	Is the requested budget within the set ceiling		
5	Does the applicant (Institution) registered in Tanzania?		
6	Does the applicant (Institution) have any track of record to manage/use the requested infrastructure?		
7	Is the proposed duration of the project aligned to the duration stated in the call?		
8	Has the proposed project previously supported by COSTECH at the same institution within past 10 years?		

7.25 Research Infrastructure (RI) Proposal Evaluation Criteria Form (CRG 23)

Please fill one form per proposal reviewed

Reviewer:
Applicant:
RI Proposal Registration No:

S/ N	Criteria	Max. Scores (%)	Scores Awarded	Comments*
1	Relevance to national development agenda	20		
2	Does the infrastructure enable the world class research within the intended specific field	10		
3	Potential national-wide impact by scientific and technical quality of the research which the	20		

	infrastructure intends to support			
4	Does the applicant (institution) forefront of the scientific field and has necessary strength i.e expertise and technical capability to establish and host/manage the infrastructure (refer to the institutional profile)	15		
5	Does proposal have clear plan to support feasibility, maintenance and sustainability of the infrastructure?	20		

6	<p>Does proposal provide any mode of collaboration?</p> <p>The user base of the infrastructure and the significance of the infrastructure to promote research collaboration.</p> <p>Possible interest from other stakeholders and options for co-financing. Access to equivalent infrastructure and other universities, R&D Institutions, industry, international partners and training of <i>scientists and young scientists</i>. (15%)</p>	15		
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Recommendation**

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**Compulsory*

7.26 Grant Closeout Checklist (CRG24)

S/ No	Has the Grantee (i.e PI & Affiliated Institution) completed the following closeout documents?	Yes	No			N / A	Comments
1.	Sent out the closeout notification letters 1 months earlier						
2.	Have all parties countersigned the grant award/amendments						
3.	Submitted Asset/ inventory report, if applicable						
4.	Patents/royalties/invention submitted, if applicable						
5.	Submitted all Progress Technical reports						
6.	Submitted Final Technical Report						
7.	Submitted all Progress Financial Reports						
8.	Submitted Final Financial Expenditure Report						
9.	Final Fund Reconciliations						
10.	Final adjustments to award, if applicable						
11.	Reminders for late submission of reports						
12.	Refund Requests for unreported/ unspent funds						
13.	Demand Note for delayed Reports/ Refunds						

7.27 Innovation Grant Application Form for Individual Applicants (CIG1)

All required information with () are mandatory sections to be completed by the applicant.*

*And All required information with (**) are guidelines to complete a section and will assist the assessment of the application form by reviewer. Applicant is advised to use best efforts to complete.*

Project title:

1.0 Applicant information

1.1	Reference Number (to be filled by COSTECH)	
1.2	Names of Applicants	
1.3	Affiliated Institution	
1.4	Specific themes applied to your proposal	
1.5	Applicant's Gender	
1.6	Contact Number (land line/mobile):	
1.7	Email Address:	
List other Project partners if part of a Consortium		
1.8	Duration to complete the project	
1.9	Total Funds required for the complete project:	
1.10	Total Funds requested for this application:	

Applicant must be 18 years older and above (official document is needed such as copies of passport, driving licenses, voter's ID card, citizenship IDs, birth certificates)

As part of the submission, each applicant is required to provide:

- Proof of Tanzanian citizenship
- A reference letter from a Local Government Authority or University Dean of Students or Director of Postgraduate for Researchers. If you are applying as a team, the contact person should submit this letter. All team members will be required to provide this reference letter and passport size photograph if awarded a grant, during the pre-award assessment.

2.0 Project Description & Purpose 2.1Project summary

2.1.1 Briefly describe the project (5-10 sentences). Briefly mention: The problem/ need that the technology intends to address, the proposed solution that is the subject of this application, the technology (product/process/service) that either has been or still to be developed and the likely commercialization path of the technology.

2.1.2 Also description should include an overview of the field, landscape analysis, and or contextual analysis, what is already known about the overall field /solution of the problem and any associated technology and its application (i.e how it can be used)

2.2 Project purpose

- i. What is the general purpose or goal of the project?
What does your project intend to achieve?

- ii. Describe the identified problem/need you are addressing in more detail and its significance. How did you validate this need?
- iii. How will the end goal and deliverables of this project assist to address the need?
- iv. List the groups of people who have this problem/need
- v. Likelihood potential clients to pay for the solution
- vi. What is the likely route to market for your proposed solution?

2.3 Provide a list of competitors with the same or similar offering to yours. Explain how your solution may be better than similar offerings. In answering this question consider the following:

- a. What is already existing or alternative in the market
- b. If any, mention the most important advantages and disadvantages of current offerings
- c. Mention any superior features that you have over your competitors' offerings or current offerings.

2.4 Project impact

- i. What are the societal impacts you aim to achieve through the project (practices, rule and governance or logics).
- ii. How will you measure your impact?
- iii. What challenges do you foresee during the implementation of your project? (These could be, e.g., a policy issue, ability to hire specific expertise, or financial sustainability of your organization)
- iv. Will your project have any negative environmental, social, health and/or safety impacts?
- v. Describe how you will minimize the negative impacts.

2.5 Terms and Conditions

COSTECH will announce the winning applications, making information about the solution and the applicant(s) public through events, our website, printed materials and/or social media. Do you agree with this condition? (for protectable knowledge assets it will be filed for IP protection either by the individual/organization themselves or by COSTECH on behalf of the innovator).

The pre-award assessment will be conducted to the winners of the award before receiving the funds. The goal is to minimize the risk that grantees will misuse funds, and to determine areas that may need corrective action and/or technical assistance. Do you agree to participate in a pre-award assessment if you are selected as a finalist?

3.0 Intellectual Property

☐ Are you aware of IP issues/protection?

4.0 Fundable innovation activities:

- i. Development of minimal viable solution
- ii. Protecting Intellectual Property (IP)
- iii. User acceptance test
- iv. Validation of Idea/Primary market research
- v. Development of the final solution
- vi. Demonstration and piloting solution
- vii. Support for certification activities
- viii. Protection Intellectual Property (IP)
- ix. Acquiring required approved certification and licenses
- x. Business Plan development
- xi. Promotion and marketing activities
- xii. Up scaling
- xiii. Contract management
- xiv. IP management

5.0. Project Plan & Budget

5.1 Project plan and associated budget:

- a. Complete the table below to plan for project milestones:

Project milestones (decision-making points):	Decision criteria for each milestone (How will you know that a milestone has been achieved?)	Deliverable per (s) milestone.	Activities per milestone (What needs to be done from the Fund)*
<i>Milestone 1</i>			
<i>Milestone 2</i>			
<i>Milestone 3</i>			

** Fundable innovation activities outline in section 4.0*

b. Complete the tables below:

Activities (refer Section 4.)	Start Date	End date	Activity duration	Expe cted delive rable s per activi ty (See sectio n 4)	Person/ Team Respon sible	Estimated cost of achieving activity

- c. Provide information on prior funding received for this project (funder’s name and amount received)
- d. Have you recently approached other potential business partners/funders for financial support? If so, what is the status of your engagement and application with them?

6.0 Risks and mitigation plan

Complete table below and list any technical and/or commercial risks pertaining to the project and state how these risks will be mitigated

Potential Risks	Probability of occurrence (0-very low, 5-very high)	Impact/effect of Identified risk	Mitigation Plan	Responsible

7.0 National Benefits

Describe potential national benefit of the outcomes of the project:

- Economic impact e.g. contribution to GDP growth, increased taxation revenue, meaningful job creation, increased and value added exports and increased competitiveness of industrial sectors.
- Increased highly skilled capacity and knowledge base and increased capabilities for technology innovation.
- Societal impact including improvement in quality of life, and poverty alleviation.

8.0 Declaration I declare that:

- I have read and understood Application General Guidelines in the invitation call for proposals.

- I am aware that there may be further information required by COSTECH in respect of this application, and that my failure to provide requested information timely may lead to a rejection of this application.
- The information contained in this application plus any supporting information is to the best of my knowledge true, accurate and complete at the time of application. I accept that COSTECH has the right to terminate this application and/or any project funding that may ensue in instances where the information provided is found to be false, and where instances of fraud are detected.
- **I have not applied for or received any other funding from COSTECH, or other Public sources of funding in regard to the technology that is the subject matter of this application.**

Applicants Names _____

ID No / Passport No: _____

Signatures: _____

Date: _____

7.28 Innovation Grant Application Form for institution/organization/legal entities (CIG2)

All required information with () are mandatory sections to be completed by the applicant.*

*And All required information with (**) are guidelines to complete a section and will assist the assessment of the application form by reviewer. Applicant is advised to use best efforts to complete.*

Project title:.....

1.0 Applicant information

1.1 Reference number (to be filled by COSTECH).	
1.2 Names of Applicants:	
1.3 Name of organization (legal entity):	
1.4 Specific themes applied to your proposal	
1.5 Applicant's Gender	
1.6 Contact Number (land line/mobile):	
1.7 Email Address:	
1.8 List other Project partners if part of a Consortium	
1.9 Duration to complete the project	
1.10 Total Funds required for the complete project:	
1.11 Total Funds requested for this application	

As part of the submission, each applicant is required to provide:

- Proof of organization registration in Tanzania,
- A reference letter from a Local Government Authority. All company employees will be required to provide this reference letter and passport size photograph if awarded a grant, during the pre-award assessment.

Extra information for organization

- i. Proof of compliance with Tax Regulatory Authority (for the companies)
- ii. A minimum of 3 employees (for the companies)
- iii. Provide your organization Taxpayer Identification Number (TIN).
- iv. Has your organization managed a contract or grant of this size before? You will be required to provide evidence of this if you are awarded a grant.
- v. What was your annual gross income last year in TZS? You will be required to provide evidence of this if you are awarded a grant.

2.0 Project Description & Purpose 2.1Project summary

- i. Briefly describe the project (5-10 sentences). Briefly mention: The problem/ need that the technology intends to address, the proposed solution that is the subject of this application, the technology (product/process/ service) that either has been or still to be developed and the likely commercialization path of the technology.
- ii. Also description should include an overview of the field, landscape analysis, and or contextual analysis, what is already known about the overall field /solution of the

problem and any associated technology and its application (i.e. how it can be used).

2.2 Project purpose

- i. What is the general purpose or goal of the project? What does your project intend to achieve?
- ii. Describe the identified problem/need you are addressing in more detail and its significance. How did you validate this need?
- iii. How will the end goal and deliverables of this project assist to address the need?
- iv. List the groups of people who have this problem/need
- v. Potential for clients to pay for the solution
- vi. What is the likely route to market for your proposed solution?
- vii. Provide a list of competitors with the same or similar offering to yours. Explain how your solution may be better than similar offerings. In answering this question consider the following:
 - d. What is already existing or alternative in the market
 - e. If any, mention the most important advantages and disadvantages of current offerings
 - f. Mention any superior features that you have over your competitors' offerings or current offerings.

2.3 Project impact

- i. What are the societal impacts you aim to achieve through the project.
- ii. How will you measure your impact?

- iii. What challenges do you foresee during the implementation of your project? (These could be: a policy issue, ability to hire specific expertise, or financial sustainability of your organization)
- iv. Will your project have any negative environmental, social, health and/or safety impacts?
- v. Describe how you will minimize the negative impacts.

2.4 Terms and Conditions

COSTECH will announce the winning applications, making information about the solution and the applicant(s) public through events, our website, printed materials and/or social media. Do you agree with this condition?

(for protectable knowledge assets it will be filed for IP protection either by the individual/organization themselves or by COSTECH on behalf of the innovator).

The pre-award assessment will be conducted to the winners of the award before receiving the funds. The goal is to minimize the risk that grantees will misuse funds, and to determine areas that may need corrective action and/or technical assistance. Do you agree to participate in a pre-award assessment if you are selected as a finalist?

3.0 Intellectual Property

Are you aware of IP issues/protection?

4.0 Fundable innovation activities:

- i. Development of minimal viable solution
- ii. Protecting Intellectual Property (IP)

- iii. User acceptance test
- iv. Validation of Idea/Primary market research
- v. Development of the final solution
- vi. Demonstration and piloting solution
- vii. Support for certification activities
- viii. Protection Intellectual Property (IP)
- ix. Acquiring required approved certifications and licenses
- x. Business Plan development
- xi. Promotion and marketing activities
- xii. Up scaling
- xiii. Contract management
- xiv. IP management

5.0 Project Plan & Budget

5.1 Project plan and associated budget:

- a. Complete the table below to plan for project milestones:

Project milestones (decision-making points):	Decision criteria for each milestone (How will you know that a milestone has been achieved?)	Deliverable(s) per milestone.	Activities per milestone (What needs to be done from the Fund)*
<i>Milestone 1</i>			
<i>Milestone 2</i>			
<i>Milestone 3</i>			

* Fundable innovation activities outline in section 4.0

b. Complete the tables below:

Activities (refer Section 4.)	Start Date	End date	Activity duration	Expected deliverabl es per activity (See section 4)	Person/ Team Respon sible	Estima ted cost of achievi ng activity

- c. What further activities (beyond the one in section 4.0) would be required before you can commercialize (for applicant for proof of concept and technology development) your offering? Which partnerships do you require to achieve this?
- d. Provide information on prior funding received for this project (funders name and amount received)
- e. Have you recently approached other potential business partners/funders for financial support? If so, what is the status of your engagement and application with them?

6.0 Risks and mitigation plan

Complete table below and list any technical and/or commercial risks pertaining to the project and state how these risks will be mitigated

Potential Risks	Probability of occurrence (very low, 5-very high)	Impact/ effect of Identified risk	Mitigation Plan	Responsible

7.0 National Benefits

Describe potential national benefit of the outcomes of the project:

- Economic impact e.g. contribution to GDP growth, increased taxation revenue, meaningful job creation, increased and value-added exports and increased competitiveness of industrial sectors.
- Increased highly skilled capacity and knowledge base and increased capabilities for technology innovation.
- Societal impact including improvement in quality of life, and poverty alleviation.

8.0 Declaration

We declare that:

- We have read and understood Application General Guidelines in the invitation call for proposals.

- We are aware that there may be further information required by COSTECH in respect of this application, and that our failure to provide requested information timely may lead to a rejection of this application.
- The information contained in this application plus any supporting information is to the best of our knowledge true, accurate and complete at the time of application. We accept that COSTECH has the right to terminate this application and/or any project funding that may ensue in instances where the information provided is found to be false, and where instances of fraud are detected.
- **We have not applied for or received any other funding from other Public sources of funding in regard to the technology that is the subject matter of this application.**

Applicants Names _____

ID No /Passport No: _____

Signatures: _____

Date: _____

7.28.1 Budget Template (CIG 3)

1. Equipment (specify and describe each item)				
	Quantity	Unit Price (Tshs)	Total (Tshs)	Cost
Equipment 1				

Equipment 2			
Equipment 3			
Estimated freight charges, insurance, tax for items to be imported			
Sub-total			
2. Expendable supplies			
<input type="checkbox"/> Reagents			
Type 1			
Type 2			
Type 3			
<input type="checkbox"/> Drugs			
Type 1			
Type 2			
<input type="checkbox"/> Stationery			
Sub-total			
4. Travel cost			
<input type="checkbox"/> Fare round trip			
<input type="checkbox"/> Fuel			
Sub-total			
5. Personnel (field work, laboratory work data, management analysis and reporting)			
➤Team members (man days)			
➤Laboratory Technicians (man days)			

➤Technical assistants (man days)			
➤Laborers (man days)			
Sub-total			
6. Dissemination of results / Closeout			
Sub-total			
7. Capacity building costs (If Applicable)			
➤Field attachment			
Sub-total			
8. Other costs (specify details)			
Sub-total			
GRAND TOTAL			

(Please include the Budget Justification after the budget, please see sample of details below)

b. Budget Justification

The developed detailed budget under part (i) above should be supported with the detailed budget justification. The grantee, in collaboration with the NFAST grants management unit must develop a written budget line - item justification to attach to all budgets included in the proposals. The budget justification should provide a detailed listing of information related to each line item in the budget, according to the following guidance:

Equipment: An explanation of why the equipment requested is necessary based on the planned activities to be implemented, as supported by copies of quotes related to procurement.

Supplies: An explanation of why the supplies requested are necessary based on the planned activities to be implemented.

Travel: Explanation of travel costs, including information regarding personnel (names and titles) that will be traveling to planned meetings or seminars and any additional expenses (e.g., the cost for airfare, car rental, fuel, hotel, and per diem).

Personnel: A listing of the actual personnel working on the project and their job responsibilities, rate of pay, and number of hours to be worked per week and for the budget period (level of effort).

Fringe Benefits: Any additional information or explanation needed related to the fringe benefits claimed in the budget, including a breakdown of the elements in the fringe rate and how they are calculated.

Contractual: A detailed explanation of the following information for each nonemployee professional individual or independent organization/company providing services to the grantee:

- Contractor name (may be generic, e.g., trainer, attorney)
- Method of selection
- Period of performance
- Method of accountability
- Itemized budget
- Justification

Other Costs: Budgeted amounts for rental of meeting rooms, utilities, and other miscellaneous costs, as supported by copies of quotes and invoices

Example: Salary Line Item Justification

Salaries TZS 1,500,000: Funds will support salaries for 1 Technician to advise the Research Advisor who are employed by SITE. He/She will dedicate 100% of the time to the program.

7.29 Guidelines for Screening of Innovation Proposal (CIG 4)

10. Does the submitted proposal follow the provided format? () Yes: () No

11. Does the submitted proposal falls within specified call/programme? () Yes: () No

12. Is the proposed budget within the set ceiling?

() Yes: () No

13. Is the Innovator's citizenship Tanzanian? () Yes: () No

14. Does the submission include:

a. Letters of acceptance from the host institution

() Yes: () No

b. Curriculum vitae (CV) of the team () Yes: () No

15. Is the proposed duration of the project aligned to the duration stated in the call?

() Yes: () No

Has the proposed project previously supported by COSTECH () Yes: () No

7.30 Evaluation Criteria for Applications (CIG 5)

S/N	Element	Sub elements to be considered in the evaluation (Guiding Questions)	Maximum points that may be awarded	Points awarded	Justification for your points awarded
	Viability	<ul style="list-style-type: none"> • Affordability of the solution be to the targeted end user • Sustainability of the project beyond the funding period • Practicability how realistic is the innovation 	25		

	Innovation	<ul style="list-style-type: none"> • Newness of the product, service or business model in Tanzania OR a significance improvement on an available product, service or business model • Newness in a way to make an existing product or service available to the targeted group • Competitiveness of the product or service in the market 	20		
	Impact	<p>The societal impact of the project.</p> <p>How the project will minimize the negative impacts</p>	35		

	Team effectiveness	<input type="checkbox"/> Availability and accessibility of necessary competences <input type="checkbox"/> Commitment of the team members innovation project	20		
	Commerciality of the application	<input type="checkbox"/> Does the innovation have potential for commercialization?			

7.31 Reviewer’s Conflict of Interest Declaration Form (CIG6)

I..... hereby declare that I am qualified* (*hold a relevant Master’s or Doctoral Degree / or have a combination of Degrees with over 5 years of working experience) to perform reviewer services.

I have been allocated the following project/projects to review:-

Project1: Title:

Project 2: Title:

Project 3: Title:

Project 4: Title:

I further agree to the following:

- To perform reviewer services for COSTECH for the duration of three weeks, from.....to
- To return any proposal where a conflict of interest is detected
- Agree to an honorarium of TZS. per proposal reviewed, to be paid upon successfully submitting the reviewed project on time.
- To abide by the timelines of the evaluation process to the best of my ability and to inform COSTECH should any circumstances arise that are beyond my control and which prevent me from completing the review services as agreed.

-

Declaration:

I hereby declare that I hold no personal interest in this project/projects and that I do not benefit in any way from the approval or rejection of the proposal/proposals. I further declare that I have no conflict of interest with the proposal/proposals, the principal investigators, or co-researchers that renders my judgement impartial and conflicting, and that disqualifies me from conducting an unbiased review. Should I detect a conflict of interest I will

immediately inform COSTECH and will not proceed to review such proposal.

By accepting this task as a reviewer, I guarantee not to disclose the information I get as a reviewer to use it for anybody's benefit or disadvantage including my own.

Reviewer's Signature

COSTECH's Representative

Date

Date

7.32 Confidentiality Statement (CIG7)

I..... understand and agree that the screening of innovation proposal is confidential exercise and all information submitted to me in the process must be kept confidential.

I will therefore ensure the protection of such information is preserved and understand that:

1. Confidential Information will include: Invention description(s), technical and business information relating to research ideas and inventions, ideas, drawings and/or illustrations, research and development, finances and financial projections, regardless of whether such information is designated as "Confidential Information" at the time of its disclosure.

2. I will not disclose the confidential information obtained from the innovation proposals to anyone unless required to do so by law.
3. If any of the provisions of this statement is breached, administrative measures shall be instituted against me.

Name:

Signature:

7.33 Pre- award Assessment Form (CIG 8)

Purpose	The purpose of this assessment is to collect information about an organization's capacity to manage and/or receive grant funds prior to issuance of a grant award document. Information may also be used to plan monitoring activities and/or identify technical assistance need to strengthen operations.			
Host Institution:				
Address:				
City:				
Website				
Email:				
Telephone				
Date:				
A.	LEGAL STATUS			
		Yes	No	Comments
1	<p>What is the legal status of the organization? How is it registered and with who?</p> <p>Please provide a certified copy of registration documents for the organization plus any</p>			

	Memorandum or Articles of Association			
2	<p>Does your organization have a governing Board that is separate from its executive management?</p> <p>Please provide list of current membership of your governing board.</p>			
B	GENERAL INFORMATION			
1	<p>c. What is the type of organization? Please specify:</p> <p>d. NGO, FBO, CBO, local governmental, local parastatal, local university, international agency?</p>	Yes	No	Comments
2	On what date was the organization formed?			
3	What is organization's mission? (If there is a written mission statement, please obtain a copy)			
4	Does the organization have legal standing and authority to engage in the activities proposed in the project?			

5	Is the organization independent or a part of a larger organization? If part of a larger organization, provide the full name of the organization, address, and contact person.			
6	What is the organization's fiscal year?			
7	Briefly describe the organizational structure. Attach a copy of the organizational chart. Determine the department directly responsible for the implementation of this project.			
8	Has your organization received a government/ donor's grants award in the last 2 years?			
9	If Yes; How many from the Government of Tanzania? _____ And how many from other sources? _____			
10	Has your organization been suspended or debarred from receiving donors grant funding?			
C	TECHNICAL CAPACITY	Yes	No	Comments
1	Can you confirm that you have a track record of staff, while employed at the organization, leading or co-leading research/innovation projects in the previous five years?			

	Please provide a brief outline of the three biggest projects you are currently or recently have led or co-lead on.			
2	<p>What is the arrangement of the finance team which will be supporting this project?</p> <p>Please give details of how many individuals at each level, their role and their relevant qualifications and experience.</p>			
3	Availability of qualified human resource for research/innovation management			
4	Availability of any patents, product development and new technologies from previously funded projects in the past 5 years			
5	Collaboration with other institutions in research/innovation			
	c) Local (How many? _____) Fr			
	d) External (How many? _____) 			
	Largest amount of money ever handled with regard to			

	research/innovation _____			
6	Are there any project components which require legal authorization or certification which is not part of the project activities? (for example some data cannot be collected without authorization by TBS)			
7	Are there any project components which require IP protection which is not part of the project activities?			
8	Are there any form of registration of the Grantees(innovators) and Host institution (evidence is needed)			
9	How the grantee(innovators) is recognized by the LGAs (form local level to district level) evidence is needed			
10	Have team members/key partners signed disclosure (confidentiality) agreements?			
D. FINANCIAL MANAGEMENT				
		Yes	No	Comments
1	Do you intend to receive the grant into a central pooled bank account shared with other grant receipts, or do you have an account specifically for this grant?			

2.	How frequency is reconciliations of income against expenditure is done?			
3.	Any accounting system in place? Specify which one _____			
4	How is expenditure on research/innovation grants monitored?			
6	Does the accounting system completely and accurately track the receipt and disbursement of grant funds?			
	Are accounting entries and expenditures supported by appropriate documentation?			
7	Are there defined scopes of work and line items in the accounting system for grant funds?			
9	What kind of financial reports are available? To whom and how often are they issued? Please provide a copy of the latest management accounts or internal financial reporting available			
10	What procedures are in place to prevent ineligible costs being charged to research grants? How is it monitored?			

E.	INTERNAL CONTROLS AND GOVERNANCE			
		Yes	No	Comments
1	How is grant management administration organized and who has overall responsibility for the management of research/innovation grants?			
2	Regarding separation of duties; Does the grants manager handle any cash functions?			
3	Regarding signing/approval of cheques; is this done by individuals whose duties include cash received, payment vouchers, and payroll?			
4	Regarding procurement procedures; Are these consistently applied in all institutional operations?			

8	Please confirm that you have policies and procedures in place that cover the following, providing copies of the documents or links to a website where the information is hosted. i. Risk management policy/strategy; ii. Anti-fraud, corruption and bribery; and iii. Whistleblowing iv. Research Integrity/Ethics vi. Equality and Diversity vii. Data Management viii. Financial Regulations ix. Conflicts of Interest x. Procurement, xi. ICT xii. IP			Policy		Web link
				Risk management policy/strategy		
				Anti-fraud, corruption and bribery		
				Whistleblowing		
				Research Integrity/Ethics		
				Equality and Diversity		
				Data Management		
				Financial Regulations		
				Conflicts of Interest		
				Procurement		
				ICT		
				IP		
9	What is the process for reviewing these policies and how often are they reviewed?					

10	How are these policies communicated to staff and how is staff awareness maintained?			
11	Do you maintain a risk register? How often is it updated and by who? Please provide details of any risks that could have a big impact on grant funding if the event occurred and any steps taken to mitigate them.			
12	Have there been any formal cases of fraud or suspected fraud involving your institution and any Research/Innovation Funding bodies in the last five years? If so, please provide details including how these were investigated; to whom they were reported and whether there was any financial loss.			

13	Are there any current, pending or threatened litigation or arbitration proceedings (whether as a claimant or a defendant), any prosecution or inquiry pending by a government or official body?			
15	<p>Have there been any formal investigations of research/innovation misconduct involving member of staff (Researchers/innovators) in the last three years?</p> <p>If so, please give further details including academic year, the number of formal investigations completed and of those, how many were upheld.</p>			
16	Are you subject to independent annual audit?			

	<p>If so, who are your external auditors? Please provide a copy of your most recent audit report.</p>			
17	<p>Do you have an internal audit service (either internally or using external contractors)?</p> <p>If so please identify the provider, and the approximate number of days per year. Please provide a copy of your most recent audit report.</p>			
18	<p>To whom does internal audit report?</p>			
19	<p>How regularly does audit review research/innovation grants administration? Does this include scrutiny of expenditure charged to individual research/innovation grants to ensure compliance with Commission terms and conditions?</p>			

Additional controls or requirements on grantees that are deemed to success the project:

- What are the qualifications of a mentor for the project?
- Can host institution provide the potential mentor?
- If yes, what are the requirements for official engagement?

- If not, what are the alternatives?

- Observe and comment on physical location/office, existence and quality status of key facilities, existence and legal status of important documents and any other items mentioned in the project proposals.

Conclusion/Key Findings

What are the major gaps (technical, financial and legal) that need attention before start of the project?

What are potential risks and mitigation strategies that need close follow?

Risks: _____

Mitigation: _____

Enclosed Document Checklist

A summary of the information you need to reference as part of this application.

Please Note: This can be in the form of a copy or a link to where the document is held.

Document	Enclosed	
Last 3 years Audited Financial Accounts	Y	N
Evidence of Legal Status		
Memorandum/Articles of Association		
External Audit report		
Internal Audit Report Anti- Fraud/ Corruption/Bribery Policy		
Scientific Misconduct Policy		
Ethics/Integrity Policy		
Risk Management Policy Whistle-blowing Policy		
Equality & Diversity Policy		
conflicts of Interest policy		
Latest Audit Findings Report		
Letter of Good Standing from your bank		
Procurement Policy		

Financial Regulations		
IP Policy		

Declaration

All research/innovation grants are subject to the Commission’s Terms and Conditions.

The Grantee name:
signature.....date.....

The Guarantor’s name:
signature.....date.....

The assessor name:
signature.....date.....

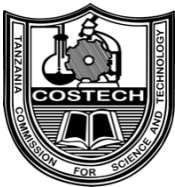
The assessor name:
signature.....date.....

The assessor name:
signature.....date.....

The assessor name:
signature.....date.....

**7.33.1 Innovation Grants Agreement
(CIG 9)**

**TANZANIA COMMISSION FOR SCIENCE AND
TECHNOLOGY
(COSTECH)**



INNOVATION GRANT AGREEMENT

BETWEEN

**THE TANZANIA COMMISSION FOR SCIENCE AND
TECHNOLOGY
AND**

.....

AND

.....

APRIL 2019

INNOVATION GRANTS AGREEMENT

Project Number:

Project Title:.....

This Agreement is made thisday of
..... 2019

BETWEEN

The Tanzania Commission for Science and Technology (COSTECH) of P.O. Box 4302, Dar es Salaam (hereinafter referred to as the “**Grantor**”, which expression shall where the context so admits include its assigns and successors) of the one part.

AND

.....Of P.O. Box
(Hereinafter referred to as the “**Grantee**”) of the other part.

AND

.....of **P.O. Box 2849, Dar es Salaam**
(hereinafter referred to as the **Guarantor**) of the other part.

WHEREAS the Grantee has applied for funds to the Grantee to pursue an innovation project titled for a period of months as it was provided in the Project Work Plan.

AND WHEREAS the Grantee agrees and guarantees to adhere to all the terms and conditions of the grant herein stated.

AND WHEREAS the Grantor is willing and has agreed to disburse the applied innovation funds to the Grantee as grant.

AND WHEREAS the Guarantor is willing and has agreed to guarantee the Grantee and act as Project Host Institution for the assurance of the project implementation and completion of the agreed Project Work Plan by the Grantee.

NOW THIS AGREEMENT WITNESSETH as follows:

1. **FUNDS DISBURSEMENT.** The innovation funds applied for (hereinafter referred to as “the Grant”) and its disbursement shall be as follows:

1.1 The Grantor grants to the Grantee a total of TZS

(Shillings)
(in words) (here in after referred to as “the Grant”) in respect of the project.

- 1.2 The Grant will only be disbursed upon execution of this innovation grant agreement by the Grantor, Grantee and Guarantor.
- 1.3 The Grant will be disbursed in three (3) installments. Each installment shall be disbursed in percentage of the total grant based on the accomplishment of the milestones agreed in the Project Work Plan, and based on the cost items included in the approved budget.
- 1.4 The Grant installments shall be disbursed by the Grantor to the Grantee through the Guarantor's bank account with the following details:
- Name and address of the Bank:.....
Bank Account Number:.....
Name of the Account:
- 1.5 The Grant installments shall be disbursed directly in the form of bank transfer to the Guarantor's bank account, who shall in turn disburse the funds to the Grantee on the basis accomplishment of milestones as herein above stated. The funds shall not be subject to any deductions by the Guarantor, including administration fees regardless of prevailing institutional policy.
- 1.6 The Guarantor shall guide the Grantee on spending the money and shall be disbursing the funds to the Grantee in installments in accordance with project milestones.

2. ROLES AND RESPONSIBILITIES OF PARTIES

- 2.1. **Roles of the Grantee.** The Grantee shall:
 - 2.1.1. Provide the Guarantor with Bank Account Details where grant funds shall be deposited.
 - 2.1.2. Notify the Grantor in writing of all payments made into his bank account by the Guarantor in respect of the grant funds, and attaching copies of payment advices.
 - 2.1.3. Use the grant funds for the intended purposes and objectives approved by the Grantor as described in this Agreement, with the understanding that any alternative use of funds or reallocation must be authorized in advance, and in writing, by the Grantor; provided that the Grantee may redirect up to ten percent (10%) from one line item to another if the change is authorized within the approved scope of work and the overall budget does not overrun.
 - 2.1.4. Furnish and present periodic progress reports of the innovation project as required by the Grantor.
 - 2.1.5. Allow the Grantor access to its records, for the purpose of making financial audits, evaluations or verifications, program evaluations, or other verifications concerning this grant as the Grantor deems necessary.
 - 2.1.6. Submit final technical and financial reports to the Grantor within fourteen (14)

days after the expiration of the Project Period. The final financial report shall clearly indicate the approved budget, actual expenditure and balance, and that report shall be certified by the Guarantor and attached with payment receipts and vouchers.

2.1.7. Coordinate and execute the project activities while seeking the technical support from the Guarantor.

2.2. **Roles of the Grantor.** The Grantor shall:

2.2.1. Disburse research funds as provided and agreed in this Agreement, and upon satisfaction of the conditions stipulated in Part 1 of this Agreement by the Grantee; provided that the Grantor shall not pay for any variance, including extensions of the project, without prior agreement of the Parties.

2.2.2. Monitor compliance and performance of the project based on this Agreement.

2.2.3. Make periodic visits to Grantee's institutions for an onsite monitoring of the project to discuss project progress with the heads of the institutions.

2.2.4. Reserve the right, in its sole discretion, to discontinue funding of the project, if he is not satisfied with the progress of the project or upon being satisfied that there

has been a breach of the terms and conditions of this Agreement.

2.3. **Roles of the Guarantor.** The Guarantor shall:

- 2.3.1. Be the Grantee's guarantor in relation to administering and managing the research funds provided by the Grantor in the following manner:
 - d) Ensure that the Grant is properly used for the purpose for which it is intended and budgeted for and in accordance with the Project Work Plan annexed to this Agreement.
 - e) Ensure the grant funds expended by the Grantee are properly accounted for.
 - f) Return to the Grantor all unspent sums of the research funds in the event where the Grantee cannot proceed with the work or the project terminates for any other reason.
- 2.3.2. Be responsible to oversee the implementation of the project to meet the agreed milestones and achieve the expected outcomes.
- 2.3.3. Ensure that both financial and technical reports are prepared and submitted to the Grantor in accordance with the provisions of this Agreement

3. INTELLECTUAL PROPERTY RIGHTS

Where any form of Intellectual Property Rights is be obtained through innovation process in this Agreement the ownership will be administered according to the existing National Intellectual Property Rights policies and regulations and or the Intellectual Property Rights policies of the Guarantor; and upon mutually agreed guidelines and/or understating by the Grantor and Grantee, in writing. Provided that the Grantee and or the Guarantor shall acknowledge the Grantor for provision of the Grant.

4. BREACH, REMEDIES AND TERMINATION

- 4.1 In the event of non-compliance by the Grantee with the provisions of this Agreement the Grantor reserves the right to exercise remedies that include, but not limited to, the following:
- a) Withholding further disbursement and or reduction of new disbursements
 - b) Termination of the support to the innovation project and demand refund of disbursed funds from the Guarantor and or Grantee.
 - c) Demand the return of unspent funds.
 - d) In the circumstance where by the innovation project was not indicate the value for money for the agreed specific project, grantor has reserve the right to demand the grantee though the guarantor to return the spent money.

- 4.2 The termination of this Agreement shall be effected after the elapse of a thirty-day notice issued by the Grantor to the Grantee. Provided that in a case of a breach of a material term of the Agreement the Grantor shall terminate the Agreement with immediate effect and the Guarantor and Grantee shall reimburse the funds already disbursed by the Grantor.
- 4.3 In cases of termination by the Grantor, the termination shall not apply to funds irrevocably committed in good faith by the Grantee to third parties before the date of the notice of termination. Provided that the commitments were made in accordance with the provisions of this Agreement.
- 4.4. Any termination shall be done by written notice of termination.

5. ENTRY INTO FORCE AND DURATION

This agreement shall be effective on the date the Grantee receives the first installment of the Grant, and it shall remain in force for the entire project duration of months from that date.

6. APPLICABLE LAW AND DISPUTE RESOLUTION

- 6.1. The Laws of the United Republic of Tanzania shall govern the construction,

interpretation and enforcement of this agreement.

- 6.2. In the event of a dispute arising between the parties in respect of any matter contained in this agreement the aggrieved party shall notify the other in writing and within reasonable time about the existence and nature of the dispute. The Parties to this Agreement shall negotiate and resolve the dispute amicably and in good faith as expeditiously as possible. In the event that the parties fail to resolve the dispute in the manner aforesaid each party shall appoint one arbitrator and the two arbitrators so appointed shall mutually agree on the appointment of a third arbitrator.
- 6.3 Where the arbitrators so obtained in the manner stated herein above fails to resolve the dispute recourse shall be made to the Court of Law of competent jurisdiction to resolve the dispute.

7. WAIVER

No failure or delay by any Party to exercise any of his rights herein shall operate as a waiver thereof, nor shall any single or partial exercise of any such right preclude further exercise of the right.

8. WARRANTIES

The Grantee hereby warrants and agrees to defend, indemnify, and hold harmless the Grantor from and against any and all claims, liabilities, losses, and expenses (including attorneys' fees) directly, indirectly, wholly, or partially arising from or in connection with any act or omission of the Grantee in applying for or accepting the grant, in expending or applying the funds disbursed pursuant to this Agreement except to the extent that such claims, liabilities, losses, or expenses arise from or in connection with any act or omission of the Grantor.

9. REVIEWS AND AMENDMENTS

This Agreement shall not be amended or modified or reviewed except by way of mutual agreement and in writing executed in that behalf by all Parties.

10. AUTHENTICITY

This Agreement may be executed in counterparts, each of which shall be deemed to be the original document and all such counterparts together shall be deemed to constitute a single document

11. NOTICES

Any notice or other document to be served under this Agreement must be delivered by hand or sent by registered mail through the addresses below:

FOR THE GRANTOR:

The Tanzania Commission of Science and Technology,
COSTECH Building,
Ali Hassan Mwinyi Road, Kijitonyama,
P.O. Box 4302,
DAR ES SALAAM

ATTENTION: Director General.

FOR THE GRANTEE:

.....
.....
.....
.....
.....

FOR THE GUARANTOR:

.....
.....
.....
.....
.....

12. DECLARATION

IT IS HEREBY DECLARED by both the Guarantor and Grantee that they have all read and understood the conditions and guidelines governing the granting of research funds by the Grantor as contained in this Agreement and the Grantor’s Grants Manual, and that they do undertake to abide by them.

IN WITNESS WHEREOF the Parties through their duly authorized representatives have executed this agreement on the day and date set out below, and certify that they have read, understood and agreed to the terms and conditions of this Agreement as set forth herein.

Party I: GRANTOR

THE TANZANIA COMMISSION FOR SCIENCE AND TECHNOLOGY

Name:

.....

Designation:

.....

Signature:

.....

Date:

.....

WITNESS:

Name:

.....

Designation:

.....

Signature:

.....

Date:

.....

Party II: GRANTEE

Name:

.....

Designation:

.....

Signature: _____

Date: _____

WITNESS:

Name: _____

Designation: _____

Signature: _____

Date: _____

Party III: GUARANTOR

Name of the Institution:

Name: _____

Designation: _____

Signature: _____

Date: _____

WITNESS:

Name: _____

Designation: _____

Signature: _____

Date: _____

7.34 Terms of Reference for Mentoring Assignment (CIG 10)

Mentoring is a program aiming at supporting and encourage innovators (winners of awards) to manage their own learning in order that they may maximize their potential, develop their skills, improve their innovations and realize their goals. In this context mentoring will include training, support, encouragement, advice, and guidance from people who have both 'done it before' and if possible independent of the mentor's current project or organization. The process allows mentors and mentees to make useful networking connections, and have access to role models.

Objectives of mentoring

The selected awardees will be awarded grants coupled with a package of supportive services including mentorship. Capacity building might be done where necessary and subject to availability of the funds from the funder.

Capacity building that will include mentoring is critical for the success of this project as will enable potential applicants and grantees to thoroughly understand the project and create viable ideas/ innovations.

Scope of Work

Mentoring is predominantly capacity building. The scope of this capacity building function is summarized hereunder:

1. Provide mentoring to potential applicants to further refine and validate their ideas.
2. Provide mentoring on technical aspects of grantees' projects for effective and efficient implementation to increase their chances of success. Mentor should conduct

at least two mentoring meetings per month. However, in the course of mentoring the two parties (mentor and mentoree) might decide that there is a need for more meetings.

3. Follow up on implementation of individual grantee Project Milestones and provide recommendation to Grants Coordinator for continued funding
4. Use own network to facilitate linkages to other business development and technical experts from different disciplines and successful entrepreneurs who could provide support during implementation to ensure project objectives are attained.

Remuneration

This assignment does not amount to contracted consultancy work. A mentor will be considered to be compensated with basic logistics to facilitate his/her work.

7.35 Progress Technical Innovation Report (CIG 11)

Quarterly reporting form CIG 11 for ongoing innovation project supported by the Tanzania Commission for Science and Technology (COSTECH) for the quarter.....

1	PROJECT	
	Project title	
	Registration number	
2	Innovator / legal entity	
	Name	
	Email	
3	Partners (if any)	
	Name	
	Address	
	Email	
4	Time frame	
	Project period (approved start and end date)	
5	Milestones for the quarter	
	Describe what was intended implemented in the current phase	
6	Progress of the project during the quarterly	
7	Expenditure for this quarter: Please use the Annex 2 to respond to this.	
	Approved annual budget (Tsh)	
	Actual expenses and balance	
	Explanation of deviation from the approved budget	

8	Substantive changes	
	List any factors possibly affecting the achievements of the objective in the future and describe how the project will address them.	
9	Lesson learned	
	Describe lessons learned, including positive experiences or solutions of interest for other research project	

The innovator (and collaboration partner if any) herewith confirm that the information given in the quarterly report is correct:

Name of innovator:

Signature.....date

Official institutional seal

7.36 Progress Financial Expenditure Report
Form (CIG 12)

CERTIFIED QUARTERLY EXPENDITURE REPORT
(CQER)

Innovator’s Affiliated Institution/ Guarantor’s Name:
.....

Innovator’s name:

Title of the Project:
.....
.....
.....
.....

Location:

Period fromto.....

1	Approved annual budget (Tshs)			
2	Funds Receipts Summary (Attach pending official funds receipts)	S/N	Date when funds were received TZS	Amount Received TZS
				TOTAL

3	Actual expenses (must correspond with the annual activities) and balance in Tshs							
	Category	Approved Annual Budget ed	Total Disburs ed	Total Spent last period s	Total Spent this period	Cumula tive Exp to date	Cash Balance	Budg et Bala nce
		a	b	c	d	e	(f=b-e)	(g = a-e)
	Equipm ents							
	Recurr ent cost							
	supplies							
	travel							
	Services							
	Indirect cost							
	Total	xxx	xxx	xxx	xxx	xxx	xxx	xxx
4	Variance Report (explanations for deviations from the approved budget)							
	Expenditure Details (as per final funded budget)	Approved Budget TZS		Actual TZS	Variance TZS		Comments- Reasons for Variance	
	Equipments	XXX		XXX	XXX			
	Supplies	XXX		XXX	XXX			
	Travel	XXX		XXX	XXX			
	Total							
	Revenue Details (as per final funded budget)	Approved Budget TZS		Actual TZS	Variance TZS		Comments- Reasons for Variance	

	Equipments	XXX	XXX	XXX	
	Supplies	XXX	XXX	XXX	
	Travel	XXX	XXX	XXX	
	Total				
	Surplus/ Deficit XXX XXX XXX				

I declare that the expenditure above were made according to the clauses and conditions of the signed Contract between and COSTECH, and that all the documents related to these expenditures are maintained and available for auditing purposes.

I also confirm that true copies of payments have been submitted to COSTECH to support payments including PVs, receipts, reports, meeting minutes, invoices, fuel logbooks, transport tickets, signed attendance, and signed pay lists. I also confirm that all originals of the copied documents above must be retained on file at the grantee's institution as evidence for future reviews and audits.

Name:.....

Title:.....

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

Project Accountant

Name:.....

Title:.....

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

Principal Innovator Name:

Title:

Signature& Official Stamp:

Date.....

Guarantor (Head of PI's Affiliated Institution)

Name:

Signature & Seal:

7.37 Technical Monitoring, Evaluation and Learning (CIG13)

The following questions will guide the monitoring of the innovation and track the impacts of innovation grants.

Innovation project title

Leader innovator

Address

Cell

Name and Address of Affiliated Institution (if applicable)

Grant Amount

Amount Disbursed

Balance

Outputs realized by the innovation project

Output areas	Output	Target	Actual achieved	Remarks
What are the technology / idea being developed?				
What stage is the development of technology/ innovation process reached so far?				
Who are the potential beneficiary of the innovation?				
What are the challenges and constraints affecting the implementation and progress of the intended project				
What lessons have been learned that may have implication for future research grants				

What do you see as achievements of objectives with regard the proposed schedule				
Are there any variations in the original proposal?				

7.38 Financial Monitoring, Evaluation and Learning (CIG14)

The following questions will guide the financial monitoring of the innovation and track the impacts of innovation grants.

Innovation project title:

Team leader / innovator

Address Cell

Name and Address of Affiliated Institution (if applicable)

.....

Grant Amount

Amount Disbursed

Balance

GRANT –FINANCIAL MONITORING GUIDELINES	Date Completed:		Report	Visiting Staff:
Grantee's Project Name:		Grantee Ref #:		
Topic Area	Yes	No	N/A	Recommendations/Comment
A. Program Operation				
1. Are project goals attainable in this grant period?				

2. Is the project progressing on schedule?				
3. Is the project functioning as described in application?				
4. Has there been a change in Primary Contacts?				
5. Do Progress Reports describe project activities?				
6. Is data provided to support project "goals/outcomes"?				
7. Is compliance with required training documented?				
8. Are there <i>Segregation of Duties</i> between fiscal & program?				
9. Is sub-recipient involved in lobbying activities?				
10. Is sub-recipient compliant with terms of previous awards?				
11. Have all <i>Special Conditions</i> of award been met?				
12. Is there evidence of a change in project scope?				
Budget, Funding and expenditure of financial resources for support of the project				
10. Will Project Meet Budget Time Frame? If not, why?				
11. Have Budget Adjustments Been Needed?				

12. Do expenses have supporting documentation?				
13. What is the disbursement flow of funds for intended project/ intervention? Indicate the proportion of disbursement to the date of visit. Is the disbursement effected timely after financial and technical reports submission to COSTECH?				
14. Are the financial records in accordance with accepted institutional regulations (audited/ signed by the relevant authorities)?				
15. Where procurement of goods and services was effected assess whether the procurement procedures were observed.				
16. Assess procurement of goods and services in terms the impact. Was the expenditure value for money with regards our expectations				
17. Observe the distribution of funds on expenditure items such as diesel, per-diems etc				

18.Are Match Requirements being met? • Can grantee provide clear documentation of match? • What are the sources of the match?				
10. Is there evidence of Supplanting to fund project?				
16.Is there a budget variance greater than 10% per category?				
17.Are grant funds routinely requested to meet obligations?				
18.Bank reconciliations are performed monthly?				
19.Value of In-kind contribution is supported by documentation				
C.PERSONNEL				
4. Are there Job Descriptions for ALL Grant-funded Positions?				
5. Are Time Sheets Maintained for ALL Grant Employees?				
6. Do hiring policies exclude related parties?				
D.TRAVEL				
3. Is Travel Documented by date, distance, locations, purpose & rates?				

4. Is mileage reimbursement paid at the official rate or less?				
E.SUPPLIES/OPERATING EXPENSES				
3. Have these been purchased according to budget?				
F.EQUIPMENT				
7. Has approved equipment been purchased?				
8. Was competitive bidding used to obtain equipment?				
9. Is equipment being used appropriately?				
10.Does grantee have current property control record on File?				
11.Does agency have physical inventory control procedures?				
12.Does the grantee have a separate fixed asset register for the project equipment?				
G.REPORTS				
2. Are ALL required reports timely submitted to COSTECH?				
• Quarterly Progressive Financial Report (with supporting documents)				
• Quarterly Progressive Technical Report				
• Special/ Off-cycle Report (where needs be)				

Final Financial Expenditure Report				
Final Technical Expenditure Report				
Are ALL required reports on grantee's file for reference?				
Quarterly Progressive Financial Report (with supporting documents)				
Quarterly Progressive Technical Report				
Special/ Off-cycle Report (where needs be)				
Final Financial Expenditure Report				
Final Technical Expenditure Report				
PROFESSIONAL AND CONTRACTUAL SERVICES				
1. Have all contracts received PRIOR final approval?				
Does Contract outline work to be performed and does it comply with program objectives?				
3. Was copy of RFP & list of bidders provided and filed?				
4. Was competitive bidding used to obtain contract(s)?				
5. If Sole Source used, is approval on file?				

6. Is "Contractor" making regular & accurate billing?				
OVERNMENTREGULATION				
Agency has a policy on how to handle discrimination complaints from employees and agency beneficiaries.				
Have there been any discrimination complaints within the past 3 years?				
Is the grantee suspended/debarred from participation?				
PECIFIC ISSUES				
Is grantee collaborating with appropriate agencies?				
SUMMARY INFORMATION				
Visiting Staff's Assessment of Project, including Strengths, Problem Areas and Recommendations:				

7.39 Final Innovation Technical Report (CIG15)

The final project report shall include technical information of the innovation project funded by COSTECH. It should be prepared by Innovators or Team Leaders or Company Directors.

The report should be prepared according to the outline below. It must be brief, clear and objective oriented.

1. Title
2. Project Registration No....
3. Thematic Area...
4. Project period (start and end)...
5. The team (if applicable)...
6. Summary: Describe in a short and accurate way what the innovation is about, how it was implemented and the main results achieved.
7. Planned activities: (as in contract) please use the Annex 1 to answer this
8. Results: Describe the outputs and outcomes obtained in the innovation project including the quantitative and qualitative as well as interactive learning happened between key actors and their impact.
9. Expected impact: Describe expected impact of the result of innovation project
10. Project Sustainability: describe prospect for continuation of the innovation project, including possible new partnerships, in any.
11. Issues during the implementation: Describe the issues encountered during the project implementation and how they were addressed

- 12. Lesson learned: Describe, in bullet points, the key lessons learned during the implementation of the project activities
- 13. General Remarks / suggestion for improvement: Briefly describe your suggestions to improve project implementation. Include any additional relevant information.

Annex 1: use the template below to respond to the No 7 Planned activities as in contact.

Innovation Project Milestones	Planned Activities per milestone	Time line	Deliverable(s) per milestone.	Observations

7.40 Final Financial Expenditure Report Template (CIG 16)

PI's affiliated Institution/Guarantor's Name

 Innovator's name
 Title of the Innovation

Location

Period fromto.....

1	Approved annual budget (Tshs)							
2	Funds Receipts Summary (Attach pending official funds receipts)	S/N		Date when funds were received TZS		Amount Received TZS		
						TOTAL		
3	Actual expenses (must correspond with the annual activities) and balance in Tshs							
	Category	Approved Annual Budgeted	Total Disbursed	Total Spent last period s	Total Spent this period	Cumulative Exp to date	Cash Balance	Budget Balance
		a	b	c	d	e	(f=b-e)	(g = a-e)
	Equipments							
	Recurrent cost							
	supplies							
	travel							
	Services							
	Indirect cost							
	Total	xxx	xxx	xxx	xxx	xxx	xxx	xxx

4	Variance Report (explanations for deviations from the approved budget)				
	Expenditure Details (as per final funded budget)	Approved Budget TZS	Actual TZS	Variance TZS	Comments-Reasons for Variance
	Equipments	XXX	XXX	XXX	
	Supplies	XXX	XXX	XXX	
	Travel	XXX	XXX	XXX	
	Total				
	Revenue Details (as per final funded budget)	Approved Budget TZS	Actual TZS	Variance TZS	Comments-Reasons for Variance
	Equipments	XXX	XXX	XXX	
	Supplies	XXX	XXX	XXX	
	Travel	XXX	XXX	XXX	
	Total				
	Surplus/ Deficit XXX XXX XXX				

I declare that the expenditure above were made according to the clauses and conditions of the signed Contract between and COSTECH, and that all the documents related to these expenditures are maintained and available for auditing purposes.

I also confirm that true copies of payments have been submitted to COSTECH to support payments including Payment Vouchers, receipts, reports, meeting minutes, invoices, fuel logbooks, transport tickets, signed attendance, signed paylists, Asset log and other relevant documentations for the project. I also confirm that all originals of the copied documents above must be retained on file at the PI’s affiliated institution as evidence for future reviews and audits. I certify that all funds have been used in accordance with the purposes for which the funds were provided and that the Institution has complied with the terms and conditions of the Contract.

Name:.....

Title:.....

Signature: Date.....

Project Accountant Name:

Title: Signature:.....

Date.....

Principal Investigator

Name:.....

Title:

Signature & Official Stamp:

Date.....

Guarantor (Head of PI’s Affiliated Institution)

Name.....

Signature& Official Stamp:

7.41 Grant Closeout Checklist (CIG17)

S/No	Has the Grantee (i.e. PI & Affiliated Institution) completed the following closeout documents?	Yes	No	N/A	Comments
1.	Sent out the closeout notification letters 1 months earlier				
2	Have all parties countersigned the grant award/amendments				
3	Submitted Asset/ inventory report, if applicable				
4	Patents/royalties/invention submitted, if applicable				
5.	Submitted all Progress Technical reports				
6	Submitted Final Technical Report				
7	Submitted all Progress Financial Reports				
8	Submitted Final Financial Expenditure Report				
9.	Final Fund Reconciliations				
10	Final adjustments to award, if applicable				
11	Reminders for late submission of reports				

12.	Refund Requests for unreported/ unspent funds				
13	Demand Note for delayed Reports/ Refunds				

7.42 Non-Competitive Innovation Support Grant Application Form (CIG18)

All required information with () are mandatory sections to be completed by the applicant.*

*And All required information with (**) are guidelines to complete a section and will assist the assessment of the application form by reviewer. Applicant is advised to use best efforts to complete.*

1.0 Applicant information

1.1 Reference number (to be filled by COSTECH).	
1.2 Names of Applicants:	
1.3 Name of organization (legal entity):	
1.4 Specific themes applied to your proposal	
1.5 Applicant's Gender	
1.6 Contact Number (land line/mobile):	
1.7 Email Address:	
1.8 List other Program partners if part of a Consortium	

1.9 Duration to complete the program	
1.10 Total Funds required for the complete program:	
1.11 Total Funds requested for this application	

As part of the submission, each applicant is required to provide:

- *Proof of organization registration in Tanzania,*
- *A reference letter from a Local Government Authority. All company employees will be required to provide this reference letter and passport size photograph if awarded a grant, during the pre-award assessment.*

Extra information for organization

- vi. *Has your organization managed a contract or grant of this size before? You will be required to provide evidence of this if you are awarded a grant.*
- vii. *What was your annual gross income last year in TZS? You will be required to provide evidence of this if you are awarded a grant.*

2.0 Innovation Support Grant Category

S/No.	Innovation Support Grant Category	Selection
1	Support innovation and entrepreneurship programs to R&D and Higher Learning Institutions (HLIs)	

2	Support to attend entrepreneurship, technology and innovation events	
3	Support to host entrepreneurial, technology and innovation events	
4	Support to schools on innovation activities	

Program Description & Purpose

2.1 Program summary

- iii. Briefly describe the program (5-10 sentences). Briefly mention: The problem/ need that the program intends to address, the proposed solution that is the subject of this application.
- iv. Also description should include an overview of the field, landscape analysis, and or contextual analysis, what is already known about the overall field /solution of the problem and any associated technology and its application (i.e. how it can be used).

2.2 Program purpose

- i. What is the general purpose or goal of the program? What does your program intend to achieve?
- ii. Describe the identified problem/need you are addressing in more detail and its significance. How did you validate this need?
- viii. How will the end goal and deliverables of this program assist to address the need?
- ix. List the groups of people who have this problem/need

2.3 **Program impact**

- vi.** What are the impacts you aim to achieve through the program.
- vii.** How will you measure your impact?
- viii.** What challenges do you foresee during the implementation of your program? (These could be: a policy issue, ability to hire specific expertise, or financial sustainability of your organization) program.

4. **Fundable innovation activities:**

- i. The focus of this grant category is to support development of facilities and human resources for innovation and entrepreneurship programs. R&Ds and HLIs may apply for innovation grants to support development of innovation and entrepreneurship programs and activities, targeting both students and staff. The support may be partial or full in either of the following categories depending on the availability of the funds:
 - a. **Category1:** Round trip economy class (by shortest route) ticket to the conference / meeting;
 - b. **Category2:** Daily Subsistence Allowance (DSA) equivalent to the number of nights at the meeting and as per the government financial regulations.

- c. **Category3:** Registration fee of up to the full amount payable.

The Fund will not support the following expenditures in connection with the participants attending conferences/meetings:

- a. Expenses incurred with respect to visa, insurance, medical or hospitalization bills;
 - b. Compensation in the event of death, disability or illness of the participant;
 - c. Loss of and/or damage to personal properties of the participants;
 - d. Incidentals enroute.
- v. The Fund will provide partial or full support on the following categories:
- a. **Category1:** Publication, book of abstracts and proceedings.
 - b. **Category2:** Participation of young scientists, technologists, and entrepreneurs.
 - c. **Category3:** Awards to young scientists, technologists, and entrepreneurs for best presentation: paper, poster and exhibition.
 - d. The support can be up to **TZS 5 million**.

5.0 Program Plan & Budget

5.1 Program plan and associated budget:

- f. Complete the table below to plan for program milestones:

Program milestones (decision-making points):	Decision criteria for each milestone (How will you know that a milestone has been achieved?)	Deliverable(s) per milestone.	Activities per milestone (What needs to be done from the Fund)*
<i>Milestone 1</i>			
<i>Milestone 2</i>			
<i>Milestone 3</i>			

* Fundable innovation activities outline in section 4.0

g. Complete the tables below:

Activities (refer Section 4.)	Start Date	End date	Activity duration	Expected deliverables per activity (See section 4)	Person /Team Responsible	Estimated cost of achieving activity

- h. Provide information on prior funding received for this program (funder's name and amount received)
- i. Have you recently approached other potential funders for financial support? If so, what is the status of your engagement and application with them?

7.0 National Benefits

Describe potential national benefit of the outcomes of the program:

- Economic impact e.g. contribution to GDP growth, increased taxation revenue, meaningful job creation, increased and value-added exports and increased competitiveness of industrial sectors.
- Increased highly skilled capacity and knowledge base and increased capabilities for technology innovation.
- Societal impact including improvement in quality of life, and poverty alleviation.

8.0 Declaration

We declare that:

- We have read and understood Application General Guidelines in the invitation call for proposals.
- We are aware that there may be further information required by COSTECH in respect of this application, and that our failure to provide requested information timely may lead to a rejection of this application.
- The information contained in this application plus any supporting information is to the best of our knowledge

true, accurate and complete at the time of application. We accept that COSTECH has the right to terminate this application and/or any program funding that may ensue in instances where the information provided is found to be false, and where instances of fraud are detected.

- **We have not applied for or received any other funding from other Public sources of funding in regard to the program that is the subject matter of this application.**

Applicants Names _____

ID No / Passport No: _____

Signatures: _____

Date: _____