



**THE UNITED REPUBLIC OF TANZANIA**

**TANZANIA COMMISSION FOR SCIENCE AND  
TECHNOLOGY**



# **NATIONAL FRAMEWORK FOR RESEARCH CHAIRS**

**2021**

## CONTENTS

|   |     |
|---|-----|
| <b>LIST OF ABBREVIATIONS</b> .....  | iv  |
| <b>FOREWORD</b> .....   | v   |
| <b>ACKNOWLEDGEMENTS</b> .....   | vii |
| <b>1.0 INTRODUCTION</b> .....   | 1   |
| 1.1 Background .....  | 1   |
| 1.2 Rationale for the National Framework for Research Chairs.....   | 2   |
| 1.3 Objectives .....  | 3   |
| <b>2.0 ESTABLISHMENT OF RESEARCH CHAIRS</b> .....   | 4   |
| 2.1 Concept of Research Chairs .....  | 4   |
| 2.2 Guiding Principles and Criteria for the Establishment of Research Chairs ..   | 4   |
| 2.3 Eligibility Criteria for Research Chair .....   | 6   |
| 2.4 Roles and Responsibilities of the Institutions, Agencies and Individuals<br>involved in managing and funding research chair ..... | 8   |
| 2.5 Value and Duration of the Research Chair .....  | 12  |
| <b>3.0 PRINCIPLES OF RESEARCH INTEGRITY</b> .....   | 13  |
| 3.1 Confidentiality .....   | 13  |
| 3.2 Access to Information .....   | 13  |
| 3.3 Ethical Consideration .....   | 14  |
| 3.4 Commitment to Excellence .....  | 14  |
| 3.5 Publication and Dissemination Practice .....  | 14  |

|   |           |
|---|-----------|
| 3.6 Materials, Data and Intellectual Property Rights .....                          | 14        |
| 3.7 Mentorship and Coaching .....   | 14        |
| 3.8 Management of Research Chair misconduct .....                                   | 15        |
| <b>4.0 PROCEDURES FOR SUBMISSION, REVIEW AND AWARD OF<br/>THE APPLICATIONS.....</b> | <b>16</b> |
| 4.1 Call for Research Chairs applications.....                                      | 16        |
| 4.2 Submission of Research Chair applications .....                                 | 16        |
| 4.3 Review of application .....   | 16        |
| 4.4 Selection of reviewers of Research Chair Applications .....                     | 18        |
| 4.5 Selection of a Research Chair.....  | 18        |
| 4.6 Pre-Award Assessment of the host institution.....                               | 18        |
| 4.7 Awarding and contracting.....   | 19        |
| <b>5.0 PERFORMANCE MONITORING AND EVALUATION OF<br/>RESEARCH CHAIRS .....</b>       | <b>20</b> |
| <b>6.0 DISCONTINUATION AND TERMINATION OF RESEARCH<br/>CHAIRS .....</b>             | <b>20</b> |
| 6.1 Discontinuation .....   | 21        |
| 6.2 Termination and resignation of Research Chair Holder .....                      | 21        |
| <b>7.0 EXECUTION OF THE FRAMEWORK.....</b>  | <b>23</b> |
| 7.1 Implementation plan .....   | 23        |
| 7.2 Monitoring and evaluation .....   | 23        |
| 7.3 Review of the Framework .....   | 23        |

## **LIST OF ABBREVIATIONS**

|         |   |
|---------|---|
| CRCP    | Canadian Research Chair Programme                           |
| COSTECH | Commission for Science and Technology                       |
| GoT     | Government of Tanzania                                      |
| GDP     | Gross Domestic Product                                      |
| HLIs    | Higher Learning Institutions                                |
| IDRC    | International Development Research Centre in Canada         |
| NFRC    | National Framework for Research Chairs                      |
| NRF     | National Research Foundation                                |
| NM-AIST | Nelson Mandela- African Institute of Science and Technology |
| PAA     | Pre-Award Assessment  |
| R&D     | Research and Development                                    |
| SDGs    | Sustainable Development Goals                               |
| SGCI    | Science Granting Councils initiative                        |
| Sida    | Swedish International Development Cooperation Agency        |
| STI     | Science, Technology and Innovation                          |
| SUA     | Sokoine University of Agriculture                           |
| SWOC    | Strength, Weakness, opportunities, and Challenges           |

## **FOREWORD**

The Tanzania Commission for Science and Technology (COSTECH) is the principal advisory organ of the Government of Tanzania (GoT) in all matters relating to scientific research technology and innovation (STI). COSTECH is mandated to coordinate, promote and popularise STI. COSTECH is responsible for policy formulation on the development of STI and recommend implementation to the GoT.

From its establishment in 1986 COSTECH has strived towards building a knowledge society and a sustainable economy that equitably eradicates poverty and creates wealth. COSTECH delivers its mandate through several interventions that facilitate research and development, translating the outputs into commercial products, processes and or services and strengthening innovation. In addition, COSTECH works as the government agency that ensures STI supports the five-year national development plans. The focus on industrialisation for economic transformation and human development of the current national development plan highlights the need for a critical mass of quality human capital.

Tanzania has 33 public and 46 private research and development organisations and Higher Learning Institutions with several researchers. Research and Development (R&D) is a critical component of building a knowledge society; faculty members from these organisations are key players in ensuring the continuance of transformative outcomes.

COSTECH is committed to establishing a National Framework for Research Chairs (NFRC) that sets out guidelines for R&D and HLIs. Research Chairs attract and retain the best talented researchers advancing the frontiers of knowledge in their fields.

The NFRC is a broad framework for all Tanzanian institutions that will host and support Research Chairs in the country. The NFRC is intended to set the minimum requirement for other institutions to develop institutional frameworks/guidelines.

The NFRC will serve to promote, coordinate, and complement Research Chair interventions in HLIs and R&D institutions as a means to strengthening the development of quality human capital in the country



Prof. Makenya Abraham Honoratus Maboko  
**CHAIRMAN OF THE COMMISSION**

## **ACKNOWLEDGEMENTS**

The Tanzania Commission for Science and Technology (COSTECH) wishes to acknowledge the active participation and contribution of the R&D and HLI community towards the successful establishment of the NFRC.

Specific mentions are made of the University of Dar es Salaam (UDSM), Nelson Mandela African Institution of Science and Technology (NM-AIST), Sokoine University of Agriculture (SUA), Open University of Tanzania (OUT), Ardhi University, National Institute for Medical Research (NIMR), Kilimanjaro Christian Medical University College (KCMUCo), Tanzania Fisheries Research Institute (TAFIRI), University of Dodoma (UDOM), Ministry of Finance and Planning (MoFP), Zanzibar University, Mbeya University of Science and Technology (MUST), Zanzibar Health Research Institute (ZAHRI), Tanzania Forestry Research Institute (TAFORI), Tanzania Wildlife Research Institute (TAWIRI), Institute of Social Work (ISW), Economic and Social Research Foundation (ESRF), Catholic University of Health and Allied Sciences (CUHAS), Tanzania Livestock Research Institute (TALIRI), Zanzibar Livestock Research Institute (ZALIRI), Zanzibar Agricultural Research Institute (ZARI), Zanzibar Planning Commission, Dar es Salaam Institute of Technology (DIT), Zanzibar Fisheries Research Institute (ZAFIRI), The State University of Zanzibar (SUZA), Muhimbili University of Health and Allied Sciences (MUHAS), Mzumbe University, Ministry of Education, Science and Technology (MoEST) and Tanzania Agricultural Research Institute (TARI). The completion of the NFRC was made possible through the hard work and dedication of the teams working beyond official hours.

COSTECH acknowledges the financial support from the Swedish International Development Cooperation Agency (Sida) in the development of the NFRC.

The COSTECH staff who coordinated the efforts of the expert teams and brought the NFRC to fruition are appreciated.



Dr. Amos Muhunda Nungu  
**DIRECTOR GENERAL**

## **1.0 INTRODUCTION**

### **1.1 Background**

The Tanzania Commission for Science and Technology (COSTECH) is the principal advisory organ of the Government in all matters relating to scientific research and technology, mandated for coordination, promotion and popularisation of Science, Technology and Innovation (STI). Amongst other functions, it is responsible for policy formulation on the development of STI and recommends its implementation to the Government.

The Sustainable Development Goals (SDGs) of 2015-2030, the African Union's Science Technology and Innovation Strategies for Africa (STISA-2024), Africa Vision 2063 and the Tanzania Development Vision 2025 recognise the role of STI in socio-economic development. Demand-driven (innovative) research capacity is instrumental in transforming Tanzania from an agricultural-based economy to an industrial one. Tanzania has committed 1% of its per capita Gross Domestic Product (GDP) to research in the efforts to increase research contribution to socio-economic development. Strategic partnership and co-funding mechanisms have been established with agencies like the Swedish International Development Agency (Sida) to facilitate research, technology development, and innovation investment.

In recognising the increased need for quality and relevant innovative research results with impact on socio-economic development in Tanzania, the Government through COSTECH is committed to establish guiding tools including the National Framework for Research Chairs that shall lead to establishment of Research chairs. Thus, COSTECH, in collaboration with research stakeholders from Research and Development (R&D) institutions, Higher Learning (HL) institutions and government departments has developed

consultatively National Framework for Research Chairs, then the Framework has been validated by heads of R&D and HL institutions.

The NFRC consists of seven chapters. The first chapter introduces the framework, and the second chapter provides information on the establishment of Research Chairs. Third chapter provides an overview on principles of Research Integrity, and fourth chapter is on procedures for submission, review and award of the applications of research chair, the fifth chapter is on performance M&E of Research Chairs, the sixth chapter is about discontinuation and termination of Research Chairs while the seventh chapter is on execution of the framework.

## **1.2 Rationale for the National Framework for Research Chairs**

The practice of having Research Chairs in Higher Learning Institutions (HLIs) and Research and Development (R&D) institutions has resulted in innovative, products, processes and services in the public and private sector. In developed countries, HLIs and R&D institutions have taken the lead in developing innovative ventures that end up as service and commercial products. Canada established the Canadian Research Chair Programme (CRCP) in 2000 to strengthen research capacity and ensure retention of talented national researchers whilst attracting the best international talent. Research Chairs of the CRCP have developed products that contribute solutions to infectious disease prevention, cybersecurity, cancer therapeutics, artificial intelligence, maternal and child wellbeing and climate change mitigation. Countries in Africa have benefitted from the expertise and experience of the CRCP through the International Development Research Centre (IDRC). Tanzania and the National Research Foundation (NRF) of South Africa are some of the countries that have received support.

Research Chairs in Tanzania focused on animal and human health

under the Oliver R Tambo Africa Research Chairs programme have been established recently at the Sokoine University of Agriculture (SUA) and Nelson Mandela-African Institute of Science and Technology (NM-AIST). The University of Dar es Salaam had established Research Chairs in diverse disciplines and is planning to set up new ones. A national framework that ensures the quality of established Research Chair programmes and encourages establishment where there are none. As the coordinating agency for R&D institutions in the country, COSTECH takes responsibility to set up the National Framework for Research Chairs (NFRC) to guide the establishment and management of the Research Chairs.

### **1.3 Objectives**

The purpose of the NFRC is to provide an overarching guide that sets minimum requirements for the establishment and management of Research Chairs in HLIs and R&D institutions. The objectives of the NFRC include:

- i. To ensure optimal utilisation of national human and capital resources as well as attract and retain distinguished scientists to benefit from their expertise
- ii. To Safeguard the improvement and increase in research capacity development and promote knowledge transfer in HLIs and R&D institutions;
- iii. To promote innovation and commercialisation of research products;
- iv. To enhance production of frontiers of knowledge in specific areas of national interest aligned to regional and global agenda;
- v. To enhance national, regional and international research partnerships and collaboration;
- vi. To enhance mentorship of researchers and academicians; and
- vii. To ensure ideal development of state-of-the-art research and innovation infrastructure.

## **2.0 ESTABLISHMENT OF RESEARCH CHAIRS**

### **2.1 Concept of Research Chairs**

A Research Chair is a program created in R&D institutions, HLIs and industries engages in specific responsive research whilst recognising individual excellence, leadership and talent. The Research Chairs fosters prestige and visibility associated with an individual. It catalyses organisational expertise in a given area, attracts, retains, mentors, creates world-class networks, builds critical mass, establishes research and innovation infrastructure, commercialises innovations and establishes spin-off companies/ industries contributing to the national research and innovation system.

### **2.2 Guiding Principles and Criteria for the Establishment of Research Chairs**

This NFRC sets minimum criteria to guide various HLIs and R&D institutions in the establishment of internally or externally funded Research Chairs. In setting the minimum criteria, the following guiding principles shall be considered for the establishment of the Research Chairs;

**TRANSPARENCY:** Institutions shall ensure transparency in the process of establishing Research Chairs.

**NATIONAL PRIORITY:** Institutions shall establish Research Chair programmes that address national research agenda and institutional research priorities, focused on achieving research excellence and building frontiers in specific fields.

**INCLUSIVENESS:** Institutions shall ensure inclusivity and responsiveness to societal groups and address representation of

designated groups (women, children, persons with disabilities, emerging researchers).

**COLLABORATION:** Institutions shall forge collaboration between HLIs, R&D institutions and industries nationally, regionally and globally.

**INTEGRITY:** Institutions shall ensure that Research Chairs' conduct, policies and procedures ethically and honestly. In addition, institutions shall commit to uphold national interest and institutional values in the conduct of the Research Chairs.

### *2.2.1 Criteria for the Establishment of Research Chairs*

The following shall be the minimum criteria for the establishment of the Research Chairs at a host institution:

- i. Have in place an operational policy and procedures for the establishment of Research Chairs and other governing policies<sup>1</sup>;
- ii. Possess requisite research competencies in the research priority area of the Research Chair;
- iii. Possess a governance structure (leadership, financial, administration, research management) required to support the Research Chair; and
- iv. Indicate willingness to support and endorse the research initiatives (including an indication of permitting the Research Chair holder to devote at least 80% of their time on activities) of the proposed Research Chair.

---

1 Institutional Research Policy, Intellectual Property Right Policy and other national policies

## **2.3 Eligibility Criteria for Research Chair**

Eligibility for Research Chairs shall be determined by the candidate's research excellence, networks, knowledge and/or track record of innovation outputs. The Research Chairs shall be categorised as follows:

### **Tier 1**

Should be an outstanding and innovative researcher and recognised internationally as an undisputed leader whose accomplishments have made a significant impact in their field and/ or have received substantial international recognition for their research contributions.

### **Tier 2**

Should be an established researcher with strong research, innovation and human capital development output trajectory and have the potential to achieve substantial international recognition for their research contributions in five to ten years from their appointment.

#### **2.3.1 Minimum eligibility criteria for Tier 1 Research Chair**

The minimum eligibility criteria for Tier 1 Research Chair that should be met includes;

- i. The Research Chair must be a citizen of Tanzania;
- ii. A PhD degree in a field relevant to the proposed Chair;
- iii. Outstanding research track-record supported by relevant research outputs that are recognised nationally and internationally in their respective research area;
- iv. An Associate Professor/Professor or Chief/Principal Research Scientist at the host institution and/ or affiliated to an accredited Tanzanian research Institution;

- v. Experience in cutting-edge research in specific focus areas, that informs national, regional and/ or institutional policies and practices;
- vi. Extensive experience in mentoring and supervising post-doctoral fellows, PhD and/or Masters students in the Research Chair area;
- vii. Have a track record in attracting research funds, and internal and external collaborations; and
- viii. Ensure innovation and commercialisation and contributes to the national industrialisation agenda and policy transformation.

### **2.3.2 Minimum eligibility criteria for Tier 2 Research Chair**

The minimum eligibility criteria for Tier 2 Research Chair that should be met includes;

- i. The Research Chair must be a citizen of Tanzania;
- ii. A PhD degree in a field relevant to the proposed Chair obtained within 10 years of the appointment;
- iii. A Senior Lecturer/Senior Research Scientist appointable to Associate Professor/Principal Research Scientist at the host institution and/ or affiliated to an accredited Tanzanian research Institution;
- iv. An emerging researcher with a good trajectory in research and who has demonstrated particular research creativity, including publishing in peer-reviewed journals, proposing original research and substantial experience on working with partners;

- v. Demonstrated potential to attract research funds; and
- vi. Track record in supervising postgraduate students in the Research Chair area and possess potential to attract, develop and retain excellent trainees, students and future researchers.

## **2.4 Roles and Responsibilities of the Institutions, Agencies and Individuals involved in managing and funding research chair**

The following are roles and responsibilities of members of management team of the Research Chairs:

### **2.4.1 COSTECH**

COSTECH shall have the responsibility of coordinating and monitoring the implementation of Research Chairs in Tanzania as follows:

- i. Maintenance of a register and approving registration of Research Chairs in Tanzanian research institutions through an interactive web-based platform;
- ii. Promotion and soliciting funds for the establishment of the Research Chairs;
- iii. Building and strengthening a Community of practice for Research Chairs;
- iv. Acquiring, storing, disseminating and transferring scientific and technological information of research and innovation outputs from Research Chairs.
- v. Maintaining a register of research and innovation outputs that have led to commercialisation, industrial innovation and social transformation, and;

- vi. Protection of the research outputs and innovations by facilitating the process of patent and copyright registration.

## **2.4.2 Funding Agencies**

Funding agencies are responsible for providing financial support to Research Chairs based on the focus of the research area and must align with the national research priorities, policies and regulations.

## **2.4.3 Research Chair Host Institutions**

The host institution shall have the responsibility of managing a Research Chair which include:

- i. Registration of the Research Chair with COSTECH;
- ii. Appointment/employment and retention of the Research Chair holder with all relevant conditions of employment, benefits and assistance of the Host Institution where applicable;
- iii. Identification of the opportunities and provision of a conducive environment for researchers to apply;
- iv. Nurturing research groups in specific research areas of institutional and national priorities;
- v. Ensuring a viable succession plan for the Research Chair;
- vi. Administration of the Research Chairs in accordance with institutional and funder policies or guidelines, and/ as stated in a condition of award ;
- vii. Ensuring the conduct of the Research Chair is performed using the highest ethical standards, especially in situations

where human, animal and/or environmental subjects are concerned,

- viii. Mobilise resources to support Research Chairs, and;
- ix. Promote and facilitate dissemination of research and innovation outputs.

#### **2.4.4 Research Chair holder**

The Research Chair holder shall have the following responsibilities:

- i. Lead research programmes that focus on achieving research excellence and contributing to the building frontiers in research and innovation;
- ii. Ensure compliance to national and institutional policies and regulations while conducting research
- iii. Ensure compliance to conditions under which the Research Chair was established; taking responsibility for their research; meeting key performance indicators; and submitting all reports required for review, renewal, and completion of terms through the approved channel;
- iv. Supervise and mentor post-doctoral fellows, PhD and Master's candidates where conditions permit;
- v. Provide fiduciary oversight of research funds;
- vi. Dedicate at least 80% of their time conducting research and target supporting and mentoring around 5 postgraduate (Masters and PhD) students and post-doctoral fellows at any given time;

- vii. Manage the Programme in accordance with the agreed research plan as per the annual Research Activity Plan;
- viii. Ensure that the Programme is performed using the highest ethical standards possible, especially in situations where human and/or animal subjects are concerned;
- ix. Monitor progress regarding the implementation of the Programme to ensure delivery of the proposed outcomes;
- x. Attract funding for research and human capital development from national and international funders;
- xi. Ensure the research output results in innovations is commercialised, and;
- xii. Creates knowledge creation for enhanced uptake of the research and innovation outputs.

## **2.4.5 Appointment of Research Chair**

Research Chairs shall be recruited through:

### **i. Open Competitive Call**

Open competitive calls shall stipulate specific research areas responding to specific national or institutional strategic research priorities.

### **ii. Closed/Commissioned Call**

Closed calls can be initiated within an R&D institution or an HLI to recruit expertise to solve a specific contemporary and emerging challenge; promote new and emerging technologies; commercialise research products; and replace a vacated Research Chair holder.

## **2.5 Value and Duration of the Research Chair**

The host institution or funding agency shall determine and publicly declare the value of the Research Chair. The value of the Research Chair shall depend on the intended outputs that shall lead to innovation, commercialisation, and social transformation. The research and innovation outputs must substantially impact society, culture, environment, and the economy.

The duration of the Research Chair shall be a minimum of five years subject to conditional renewal to a maximum of fifteen (15) years. If renewal conditions, i.e., progress reports, evaluation and evidence from physical visits, the Research Chair holder may be relieved from the post and the position re-advertised.

### **3.0 PRINCIPLES OF RESEARCH INTEGRITY**

All individuals and parties involved in Research Chair programmes establishment and management shall adhere to research integrity as stipulated in the National Research Integrity Framework (2020) and relevant Tanzanian legislation and guidelines;

- i. All institutions hosting the research chair within Tanzania shall ensure that research integrity mechanisms are in place.
- ii. Host institutions shall develop mechanisms that uphold the quality and objectivity of the research profession and ensure that the resulting evidence is scientifically sound and addresses national research priorities.
- iii. All individuals and parties involved in undertaking research shall adhere to the integrity standards in all aspects of research processes.

#### **3.1 Confidentiality**

All individuals and parties shall ensure the confidentiality of all classified information and data. Host institutions shall have confidentiality mechanisms in place or follow the institution policies and regulations.

#### **3.2 Access to Information**

The process of the establishment of Research Chairs shall be transparent to ensure access to information and feedback. There shall be mechanism to allow public access to outputs and information when needs arises.

### **3.3 Ethical Consideration**

All individuals and parties involved in the establishment and management of Research Chairs shall consider ethical issues as stipulated in the National Research Integrity Framework, host institutions policies and other National laws and regulations. It is the responsibility of the host institution to ensure that all research undertaken by Research Chairs have the necessary ethical approvals.

### **3.4 Commitment to Excellence**

All individuals and parties involved in the establishment and management of Research Chairs shall ensure research quality and excellence through its endeavours.

### **3.5 Publication and Dissemination Practice**

Host institutions shall put in place mechanisms for sharing research and innovation outputs from Research Chair according to international standards.

### **3.6 Materials, Data and Intellectual Property Rights**

Research Chair host institutions shall set mechanisms for ownership and management of materials, data and intellectual assets generated during the Research Chair programme. Mechanisms for ownership shall include; Material Transfer Agreement (MTA), Data Transfer Agreement (DTA) and Intellectual Property Rights (IPR).

These mechanisms should be agreed upon at the beginning of a Research Chair position by all parties involved.

### **3.7 Mentorship and Coaching**

Research Chair host institutions should put mechanisms for coaching and mentorship within the Research Chair. Effective mentoring and

supervision of researchers and students working in the Research Chair will facilitate smooth research undertaking and sustainability of the programme.

### **3.8 Management of Research Chair misconduct**

Host institutions shall have written policies and/or procedures for dealing with allegations of research misconduct and appoint a designated person (other than the head of the institution) to whom allegations of research misconduct can be directed. When an allegation of research misconduct arises, investigations should follow the stipulated policies and procedures for dealing with alleged research misconduct. If proven, such misconduct shall lead to disciplinary action.

## **4.0 PROCEDURES FOR SUBMISSION, REVIEW AND AWARD OF THE APPLICATIONS**

### **4.1 Call for Research Chairs applications**

Open/ closed calls for the Research Chair programmes is published on various media platforms according to the host institutional policy and prevailing guidelines for broad publicity.

The calls will align to national and institutional research agendas and provide solution(s) to the current demands /needs. Criteria for applications need to be well articulated to allow applicants to respond.

### **4.2 Submission of Research Chair applications**

The applicants shall be required to apply within the stipulated deadline. The funding agency or host institution will guide the format of the application and the modality of submission. Applicants are to adhere to all instructions provided in the application process. All submitted applications shall be subjected to a review process.

The funder or host institution shall acknowledge the receipt of the application.

### **4.3 Review of application**

All Research Chairs applications shall be subjected to a fair and transparent review process guided by the funding agency or host institution. The review process shall consider the following, but not limited to:

- i. Transparency and objectivity
- ii. Integrity and confidentiality

- iii. Inclusive (gender, disability, equity) composition of reviewer's expertise in the relevant thematic area
- iv. Timely provision of feedback to the applicants

The review process shall be guided with a set of review criteria as provided by respective host institutions or funding agencies; however, the review criteria should consider the following important aspects but not limited to:

- i. Relevance to the call;
- ii. Eligibility of the applicant
- iii. Scientific quality of the application;
- iv. Feasibility of the proposed Research Chair;
- v. Anticipated outputs, outcomes and impact of proposed Research Chair;
- vi. Commitment and capability of host institutions to manage the proposed Research Chair;
- vii. Evidence of capacity building in the activity of the Research Chair;
- viii. Sustainability and succession plan of the Research Chair;
- ix. Inclusiveness;
- x. Work schedule and division of tasks;
- xi. Research ethical consideration;
- xii. Strategy for dissemination of research results;
- xiii. Evidence of expected research outputs that can lead to social transformation, commercialisation of product and industrial linkage;
- xiv. The budget includes matching fund/ other collaborators contributions, if any; and

- xv. Supporting documents (endorsement letter, collaborative partners' commitment letter).

#### **4.4 Selection of reviewers of Research Chair Applications**

Criteria for selection of reviewers for externally funded Research Chair shall align with conditions set by the funding agency without compromising the national research agenda. For internally funded Chairs, criteria for selection of reviewers should take into consideration the following criteria but not limited to:

- i. PhD in relevant field and an active researcher with a broad base of knowledge and demonstrate extensive experience in the area of research;
- ii. Conversant in the national research agenda
- iii. A person with a good record of research ethics and integrity, and;
- iv. A person with no conflict of interest with the applicant and or funding agency.

#### **4.5 Selection of a Research Chair**

The selection of the Research Chair shall be guided by the reviewer's scores and criteria and procedures established by the host institution or funding agency.

The application shall be approved by relevant governing boards of the institutions or funding agency.

#### **4.6 Pre-Award Assessment of the host institution**

This is recommended only where the Research Chair is supported by external funds.

External funding agencies will conduct a Pre-Award Assessment (PAA) of the host institution prior to signing and executing an agreement of an applicant shortlisted for an award.

The purpose of PAA is to assess the host institutions' capacity to manage research grants; this includes existing systems/guidelines for governing research; human resources capacity; risk management; and finance, procurement, and audit systems. The PAA shall be used as guidance for awarding the Research Chair depending on the level of the risk observed.

#### **4.7 Awarding and contracting**

The awarding and contracting process shall be done as per requirements of Research Chair host institution or funding agency.

Research Chairs shall be awarded to successful applicants, and funds administered through the institution. Each awardee shall be required to adhere to the institutional procedures, systems and controls, and conditions in the signed agreement. The contract shall stipulate clearly key aspects including;

- i. Duration of the agreement and execution plan;
- ii. All issues as regard to IPR;
- iii. Roles and responsibility of the partners (e.g. Host institution, research chair, funding agency);
- iv. Disbursement modalities and use of funds;
- v. Breach, remedies and termination; and
- vi. Declaration of any other financial support received from other donor(s) to support the same programme if any.

## **5.0 PERFORMANCE MONITORING AND EVALUATION OF RESEARCH CHAIRS**

Monitoring and evaluation (M&E) of the Research Chair programme shall be a continuous process. It shall be done according to the institutional policy that established the Research Chair and the National Research and Innovation Monitoring and Evaluation Framework of 2020. It shall provide information that will enable to assess the implementation of the Research Chair programme. Moreover, it shall identify potential success and constraints and gauge possibilities of achieving the intended impact of the programme.

M&E shall be done on an annual basis upon receipt of the first disbursement of the funds or as specified on the programme agreement/ contract.

The monitoring and evaluation of the performance of the Research Chair shall focus on the following inputs:

- i. Progress Reports submitted by the Research Chair holder through institutional mechanisms of governance on an annual basis or as stipulated in the program contract;
- ii. Site visits to the Research Chairs at host institution by an M&E team of the funding agency on an annual basis or as stipulated in the program contract; and
- iii. Mid-term and Final-year review of the Research Chair unless it is stipulated otherwise in the program contract

The M&E report format shall comprise but not limited to Research Achievements such as enhanced collaborations, established infrastructure, established industrial linkage, human resource development, patents obtained, prototypes/products developed and leverage of funds; Progress of the Research Plan including challenges, risks and mitigation.

## **6.0 DISCONTINUATION AND TERMINATION OF RESEARCH CHAIRS**

### **6.1 Discontinuation**

A Research Chair programme can be discontinued due to lack of funds to maintain the position, change of the law, *force majeure* or natural calamities.

When such conditions occur, the funding agency and host institution shall consider limited support for phasing out the programme to ensure sensitive existing commitments are addressed. This commitment shall be stipulated in the agreement/ contract between the parties.

During the phase-out period, the Research Chair holder will present a phase-out report and plan to the host institution and funding agency with details of the implications of such changes to strategic research activities under the Research Chair.

### **6.2 Termination and resignation of Research Chair Holder**

#### **6.2.1 Termination**

The Research Chair holder may be terminated by the host institution due to the following reasons:

- i. Unsatisfactory performance as per the contractual agreement
- ii. Non-compliance with chair host institution regulations or conditions set by the funder

### **6.2.2 Research misconduct.**

The host institution recognises the right of appeal of any of its Research Chair holders to the relevant organ stipulated in the institutional research policy.

### **6.2.3 Resignation**

Chair holder may resign from the position due to the following reasons:

- i. Appointment or seconded to other position
- ii. If physically or mentally incapacitated
- iii. Personal reasons by a written notice received by the host institution not less than ninety(90) days.

## **7.0 EXECUTION OF THE FRAMEWORK**

### **7.1 Implementation plan**

The implementation of this framework requires collaborative efforts and adoption by all stakeholders involved in innovative research programs. Key stakeholders in implementing this framework include government agencies, development partners, HLIs, R&D and private sector. The coordination for the implementation of the framework remains with COSTECH.

### **7.2 Monitoring and evaluation**

GoT through COSTECH, shall provide a conducive environment for implementation of this framework and hence shall perform monitoring of the framework periodically to assess the extent of progress and achievements. Institutions shall ensure the implementation of the NFRC is integrated into their governing systems

### **7.3 Review of the Framework**

The NFRC will be reviewed after every five years or when the need arises. The review process shall be coordinated by COSTECH in consultation with relevant stakeholders.

