

SOKOINE UNIVERSITY OF AGRICULTURE



RESEARCH REGULATIONS AND GUIDELINES

**Fourth Edition
June 2019**

SOKOINE UNIVERSITY OF AGRICULTURE



RESEARCH REGULATIONS AND GUIDELINES

**Directorate of Postgraduate Studies, Research,
Technology Transfer, and Consultancy (DPRTC)
Sokoine University of Agriculture
P.O. Box 3151, Chuo Kikuu, Morogoro, Tanzania**

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June 2019**

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SOKOINE UNIVERSITY OF AGRICULTURE

Brief description

The 4th Edition (2019) is a product of Sokoine University of Agriculture (SUA) Research Regulations and Guidelines Policy (2010) that comprises regulations and guidelines with respect to administration of research, conduct and ethics, and Intellectual Property Rights. The Fourth Edition of SUA Research Regulations and Guidelines enforce and support the SUA Research Policy and Strategies of 2018.

The revised Regulations and Guidelines accommodated contemporary and emerging issues in ensuring increased quality of research, smooth implementation and guarantee accuracy of database of research outputs. The revised Regulations and Guidelines seek to affirm institutional commitment of ensuring quality outputs and relevance of research through professional and ethical implementation of research activities.

This would enable SUA research to contribute to Tanzania national development by providing high quality and reliable research evidence to inform national policies for effective implementation of the Tanzania's Development Vision 2025, the Second Five-year Development Plan 2016 – 2021, the 5th Government's industrialization agenda and other national development strategies.

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TABLE OF CONTENTS

ACRONYMS AND ABBREVIATIONS.....	viii
PREFACE.....	ix
EXECUTIVE SUMMARY.....	xi
1.0 INTRODUCTION.....	1
1.2 SITUATION ANALYSIS AND JUSTIFICATION FOR REVISED RESEARCH REGULATIONS AND GUIDELINES.....	1
2.0 REGULATIONS AND GUIDELINES FOR CONDUCTING RESEARCH.....	6
2.1 Application for research grants.....	6
2.2 Implementing research projects at SUA.....	9
2.3 Reporting Progress of Research Projects.....	11
2.4 Equipment Procured using Research Funds.....	13
2.5 Subsistence, Per-diems, Reimbursements, Incentives and other Allowances.....	13
2.6 Research Teams / Professorial Research Chairs..	14
2.7 Responsibilities of the Professorial Research chair, Principal Investigator and the Team leader.....	15
3.0 GUIDELINES FOR RESEARCH ASSOCIATESHIP SCHEME.....	16
3.1 Qualifications of Research Associates.....	17
3.2 Application for Research Associateship.....	17

3.3	Obligations of Research Associate.....	20
3.4	Obligations of the Contact Person for research associate.....	21
3.5	Accommodation.....	22
4.0	ADMINISTRATIVE COSTS AND REVENUE OF RESEARCH GRANTS.....	22
4.2	Administrative cost of grants.....	22
4.3	Revenue from research projects and activities.....	23
5.0	REGULATIONS AND GUIDELINES FOR DISSEMINATION OF RESEARCH FINDINGS.....	23
5.1	Publication by SUA staff and students.....	24
5.2	Supporting Publications.....	31
5.3	Scientific journals hosted by SUA/SUA-affiliated professional associations.....	32
6.0	OUTREACH.....	33
7.0	REGULATIONS AND GUIDELINES FOR ETHICAL CONDUCT IN RESEARCH AND PUBLICATION..	33
7.1	Research ethics clearance.....	33
7.2	Research clearance.....	35
7.3	Management of Research Data, Materials, Specimens and Records.....	35
7.4	Monitoring compliance to ethical conduct.....	38
7.5	Institutional set up for research ethics review.....	39

8.0	APPENDICES.....	41
8.1	APPENDIX 1: Format for Application for Research Grant.....	41
8.2	APPENDIX 2: Criteria for Selecting Research Projects for Funding.....	43
8.3	APPENDIX 3: Review and awarding procedures for research Concept Notes/Proposals.....	44
8.4	APPENDIX 4: Format for Research Project Registration.....	45
8.5	APPENDIX 5: Format for Research Progress Report.....	46
8.6	APPENDIX 6: Format for Terminal Research Report.....	47
8.7	APPENDIX 7: Format for Clearance for Conducting Research in Villages/Wards/Districts.....	50
8.8	APPENDIX 8: Application for Research Associateship at SUA.....	54
8.9	APPENDIX 9: Format for Research Associate’s Report to Directorate responsible for research.....	56
8.10	APPENDIX 10: Evaluation of research proposal using of animal as research subject for ethical clearance.....	58
8.11	APPENDIX 11: Evaluation of research proposal for ethical clearance.....	71

ACRONYMS AND ABBREVIATIONS

COSTECH	Tanzania Commission for Science and Technology
CSP	Corporate Strategic Plan
DPRTC	Directorate of Postgraduate Studies, Research, Technology Transfer and Consultancy
ICT	Information Communication Technology
IPR	Intellectual Property Right
IRB	Institutional Review Board
NaHREC	National Health Research Ethics Committee
NIMR	National Institute for Medical Research
REC	Research Ethics Committee
RPDS	Research and Publication Documentation System
RRG	Research Regulations and Guidelines
SUA	Sokoine University of Agriculture
TALIRI	Tanzania Livestock Research Institute
TDV	Tanzania Development Vision
USAID	United States Agency for International Development

PREFACE

The Directorate of Postgraduate Studies, Research, Technology Transfer, and Consultancy (DPRTC) is the University-wide directorate responsible for the administration, coordination, management of research funds, monitoring of all research activities at SUA, and overseeing the implementation of and compliance to SUA Research Policy and the University's research agenda. Thus, regulations and guidelines set forth in this document provide administrative responsibilities and guide on how to discharge them in a consistent and transparent manner.

This edition comes as a separate document but supplements the Revised SUA Research Policy and Strategies 2018. This revised version contains the revised research regulations and guidelines for Sokoine University of Agriculture (SUA) as approved by 257th meeting of the University Senate held on 20th June 2019. The current edition has revised some of the regulations and guidelines to accommodate new developments as guided by the SUA Corporate Strategic Plan (2016-2021) and the University Council decisions pertaining to university restructuring and National Science and Technology Policy. The revised version includes a more elaborative regulations and guidelines for publications, research team formulation, and responsibilities. Other new features include new restructuring issues such as granting of awards to the best performing research through revising the criteria for awarding researchers. This review includes revised quality assurance and motivational arrangements for recognizing Best Researchers through various Awards. This document is meant to assure that SUA is committed to ensure that research activities are professionally implemented and that SUA's objectives, functions, and

obligations of advancing knowledge through quality research that addresses national challenges are fulfilled as per SUA Charter 2007. The document is also meant to be guidance to SUA researchers and other collaborators in formulating and undertaking research at SUA and in Tanzania in general. It is imperative for all researchers to refer to this document when writing proposals and implementing research projects with a view of conforming to the policy provisions and guidelines provided herein. Indeed, this document should be a regular reference and companion to all SUA management, researchers, students, and collaborators.

Since SUA realises the need of keeping pace with the changing world, the regulations and guidelines will be reviewed after every five years along with the SUA Research Policy and Strategies. These revisions will however be guided by SUA's strategic research objectives as set out in the SUA's Corporate Strategic Plan (2016-2021).

The inputs from various SUA's Units, Departments, Colleges, and School are highly appreciated. The work of the Task Force that reviewed various documents, prepared the draft, and incorporated views and inputs from all stakeholders in the production of this document is highly appreciated. Finally yet importantly, SUA extends appreciation to Stakeholders outside SUA, whose valuable inputs enabled SUA to improve this document and to ensure that national and global interests will be preserved through enforcing these regulations and guidelines. We also thank various University committees and individuals who, in one way or another, contributed to the production of the final document.

Prof. Raphael T. Chibunda
Vice Chancellor

EXECUTIVE SUMMARY

This revised 4th Edition of SUA Research Regulations and Guidelines was necessary for achieving SUA Vision and Mission as stipulated in SUA Corporate Strategic Plan 2016-2021. The revised regulations and guidelines will help SUA to increase volume, quality, relevance of research and collaboration to address the emerging needs and challenges of the community and national and global development priorities.

What is New in the Revised regulations and guidelines:

1. The guidelines and regulations are divided into six major sections to make it easy to comply and implement:
 - i) Regulations and guidelines for conducting research
 - ii) Guidelines for research associateship scheme
 - iii) Administrative cost and revenue of research grants
 - iv) Regulations and Guidelines for dissemination of research results
 - v) Outreach
 - vi) Regulations and guidelines for ethical conduct in research and publications

2. In the regulations and guidelines for the implementation of research, this edition includes recognition of and new regulations and guidelines for research teams and Professorial chairs.

3. This revised edition includes more elaborative regulations and guidelines for authorship, citation, affiliation in publication, peer reviews, redundant publication, and Plagiarism.
4. This revised version provides operationalization of the SUA Code of Conduct for Research Ethics 2012, including the establishment of Institutional Review Board (IRB) for ethical clearance.
5. The Ethical conduct in research includes guidelines on the management of research data and material, including guidelines and regulations for recording, retention, ownership, and transfer as per the requirements of the National Research and Development Policy.
6. This edition includes various forms including new forms for Ethical clearance for studies that use living organism and forms for ethical clearance of other studies to enable the implementation of the guideline for ethical conduct in research and publication (in the Appendices).

1.0 INTRODUCTION

The Research Regulations and Guidelines (RRG) stipulate the requirements and procedure for coordination, managing, and conducting research at Sokoine University of Agriculture (SUA). The Regulations and procedures cover all aspects of research in conducting research, engaging researchers outside SUA, administrative cost and revenue from research, dissemination of research findings and outreach and ethical conduct in research and publication. The regulations and guidelines also highlight the role and responsibilities of SUA Management and researchers in increasing the number, quality, and relevance of research and publication for economic transformation in Tanzania towards middle-income economy as per 4th SUA Corporate Strategic Plan (CSP) 2016-2021.

1.2 SITUATION ANALYSIS AND JUSTIFICATION FOR REVISED RESEARCH REGULATIONS AND GUIDELINES

As stated in SUA Charter 2007, research is one of the core mandates of enabling SUA to contribute to knowledge, science, technology, and innovations that can solve community problems. Research and publications are also vital in enabling SUA to contribute to the formulation of evidence - based national policies. The SUA Research Policy and Strategies (2018) provide statement of commitments of SUA of increasing the number of relevant and quality research in a transparent, ethical, and responsible manner.

The revised regulations and guidelines pave the way to the implementation of Research Policy and Strategies (2018) to ensure that the set targets are timely achieved as per SUA CSP.

SUA developed its first research policy, priority areas and guidelines 1992, which was reviewed in 2000, followed by its third edition in 2010. SUA recognises the changes of technology, national and global development priorities, and increasing demand of high- quality research to solve the ever-increasing challenges facing humanity. Thus, SUA had set its commitment of reviewing its policies every after five years so as to keep pace with national and global changes, and remain relevant as a producer of knowledge, technology, and innovations through research.

During the implementation of the previous policy, regulations, and guidelines, it was realised that the major barrier against compliance was lack of clearly stipulated and documented procedure of guiding research management from the proposal development to the implementation of research activities.

In the past policy, regulations, and guidelines, consistent reporting of research progress was a challenge due to lack of easily accessible platform for reporting. Thus, the current regulations and guidelines recognise and emphasize on the use of Research Publication and Documentation System to report progress and enable easy and efficient monitoring and evaluating of research implementation based on a work plan. Furthermore, the role of each party from the researcher, coordinating unit, and SUA management is

clearly stipulated in this revised policy. The organization of the document was improved, from separation of policy and strategies to organize logically the Research Regulations and Guidelines (RRG) into 6 major sections for quick and easy of reference and understanding.

When SUA was established, the major research-funding agency was the Government of United Republic of Tanzania and her development partners. The mode of research funding in the past was mostly through budgetary allocation to universities and/or commissioned research. Of recent, there are increasing opportunities for research grants from a number of funding agencies ranging from philanthropic agencies to private and other public organizations. The mode of funding has also changed to being mostly competitive and collaborative grants. Recognizing these potential multiple sources of research funds, SUA Research Regulations and Guidelines (RRG) provide facilitation guide to enhance SUA competitiveness in attracting research funds.

The RRG provide assurance to the funding agencies on SUA commitment of managing and safeguarding research funds and ensure quality results with great impact for community development. At the same time, the Research Regulations and Guidelines provide a balance between meeting national research priority and global sustainable development goals and meeting the priorities of the funding agencies. Therefore, these Research Regulations and Guidelines are aimed to foster mutual benefits for the common good among funding agencies, individual researchers, and SUA as a public university.

One way of increasing the volume of research at SUA is to encourage SUA staff to conduct relevant and high-quality research. SUA also encourages researchers outside SUA to collaborate with SUA staff to conduct research with great impact taking advantage of comparative advantages and mutual sharing of resources and expertise among institutions. The Research Regulations and Guidelines provide recognition, incentives, and conducive environment to quality and relevant research to her staff and collaborators. SUA as a centre of excellence has also opened windows for students from other universities/institutions within and outside Tanzania to use SUA expertise, experience, and facilities to conduct research that are of mutual benefit to SUA and Tanzania and the international community through research associateship.

Scholarly publications, outreach, and extension materials such as manuals, illustrations and other publications are essential outputs of research that demonstrate SUA's contribution to the scientific community and to knowledge management. Publications are also essential components in academic performance evaluation and promotion. In addition, the academic world has witnessed the growing and development of publishing industry. The two scenarios call for SUA to facilitate her staff to publish quality and relevant articles, books and extension manuals through reputable publishers and observing the peer reviews as quality control and assurance for publications.

Furthermore, the need of fostering accountability of individual researchers and SUA to the publications emanating from

SUA is critical now than ever, considering the contribution of publications in University ranking, researcher's recognition and the essence of sharing knowledge. These growing demands on publications made the revised RRG to provide regulations, guidance, and commitment of SUA to all publications emanating from research and training at SUA.

SUA, like other universities in Tanzania and around the world, has witnessed the pressure of producing break through research findings and innovations for personal and community gains, institutional and national benefits and global recognitions. Although this pressure is likely to produce good results, there is a need of ensuring that the conduct is ethical with protections to humanity wellbeing and respect while ensuring safety of the environment and application of credible research methods to produce results. The growing demand and emphasis of fighting corruption, fostering transparency and accountability and managing conflict of interest for all parties involved in research were also given attention in this revision. These RRG provide guidance, raise awareness, and regulate ethical conduct in research.

The RRG show commitment to the international research ethics conventions and in preparation for National framework on research ethics by operationalising the SUA Code of Conduct for Research Ethics 2012.

SUA is determined to be ISO 9001:2008 certified by 2021 as per CSP 2016-2021. One of the major aspects in ISO certification is to have an efficient standard operation, with

less bureaucracy but with effective control and checks mechanism. The revised RRG provide tools (forms) for various reporting and assessments, and has decentralised responsibilities in research management to respective academic units for monitoring and evaluation and ethical clearance to ensure timely research implementation and compliance to regulations.

2.0 REGULATIONS AND GUIDELINES FOR CONDUCTING RESEARCH

All research activities at SUA shall be implemented and governed by rules and regulations that will ensure integrity, outputs, and impacts to enable SUA to contribute in addressing national and global challenges. Therefore, the following regulations and guidelines shall apply during the application of research grants and implementation of the research activities.

2.1 Application for research grants

- i) The sources of research grants that SUA staff and students can apply include, but not limited to, grants administered or funded by SUA, grants administered by the Government of the United Republic of Tanzania, and open calls for competitive research grants from various national and international funding organisations.
- ii) All applications for research grants by SUA staff must state that Sokoine University of Agriculture is

their institutional affiliation and where applicable, may state the Department/College/Centre/Institute where the Leader/Principal Investigator (PI) is designated.

- iii) All grant applications must include a reasonable budget for publication, monitoring and evaluation and dissemination activities in accordance with the funders' provisions. Such budget may be used to support write-shops, monitoring and evaluation, publication fee in reputable Journals/Books, dissemination workshops and preparation of training manuals.

2.1.1 Application for research grants administered or funded by SUA

2.1.2 All research grants administered or funded by SUA shall be advertised widely internally by the DIRECTORATE RESPONSIBLE FOR RESEARCH through the committee responsible for overseeing Research on a competitive and transparent manner.

2.1.3 All research grant applications shall be made using the prescribed format (Appendix 1) or any other format prescribed in that call.

2.1.4 All applications for research grants shall be submitted to the DIRECTORATE RESPONSIBLE FOR RESEARCH through College/School/Institute/Centre or Committee responsible for overseeing Research and Publication and respective Boards. The Committees and the Boards shall evaluate the application and provide comments based on:

- a) Relevance and importance of the proposed research projects in relation to SUA priority areas.
- b) Competence of the applicant(s) to undertake such a research project.
- c) Composition of the team (engagement of junior researchers, female researchers, multidisciplinary etc).
- d) Any other matter which the College/Institute Committee and College/ School/Institute Board think would help the DIRECTORATE RESPONSIBLE FOR RESEARCH in making an appropriate decision on the application.
- e) In case the applicant is a former recipient of a grant from SUA, performance of the previous grant shall be used to determine whether another grant should be awarded to the applicant. For such an applicant to be considered for new grant, one must have good performance record on the implementation of the previous grant as stipulated in these Regulations and Guidelines on implementing research and disseminating the research findings.
- f) Criteria for selecting projects for funding are summarized in Appendix 2.

2.1.2 Application for research grants from external funding agencies (national and international)

- 2.1.2.1 Staff and students of SUA are encouraged to apply for research grants from various sources provided

that the research themes and conditions for funding address SUA and national priorities and sustainable development goals.

- 2.1.2.2 The Directorate responsible for research shall avail information about the research grant opportunities and open calls for research grants from various sources to all researchers and students.
- 2.1.2.3 At any time during the application process of the research grant, the Directorate responsible for research shall provide necessary institutional information/documents and endorsement letter that are needed as per grant application requirements and procedures.
- 2.1.2.4 SUA staff who is applying for the respective grant will be responsible for informing the Directorate responsible for research on specific institutional requirements for the research grant, which is applied for.

2.2 Implementing research projects at SUA

The implementation of all research activities at SUA shall be guided based on the following procedures:

- 2.2.1 Upon receiving notification of approval of research proposal for funding from the funding agency, the researcher shall notify the Directorate responsible for research. The draft of research grant agreement shall be scrutinized by the SUA Corporate Counsel who will advise the researcher(s), Directorate responsible for research and the funding agency during preparation of the Grant Agreement/MoU.

- 2.3.2 Upon finalization of Grant Contract/Agreement, the Principal Investigators (PIs) shall submit to the Vice Chancellor in writing, through the Director, Directorate responsible for research and the Deputy Vice Chancellor (Academic), the request for the signing of Agreement/MoU and submit the following:
- i) Final grant agreement endorsed by SUA Corporate Counsel.
 - ii) Approved research proposal document.
 - iii) Approved budget.
 - iv) Any other necessary documents associated with the proposal.
- 2.3.3 All research Grant Contracts, Agreements and Memoranda of Understanding (MoU) between SUA and the donor and collaborating partners shall be approved by the Vice Chancellor upon recommendation by the Corporate Counsel and the Director, Directorate responsible for research before the commencement of the project activities.
- 2.3.4 All research projects and/or activities conducted under the auspices of SUA and/or by staff of SUA must be fully registered with SUA and issued with an identifier registration number upon concluding the Grant Contract/Agreement/MoU. This requirement shall apply regardless of the source, size, and mode of funding. Appendix 4 provides information need during research project registration.
- 2.2.5 Registration in the RPDS shall record the name of the PI at SUA, the total amount of project funds,

duration of the project as per the contract agreement and funding agency; the name and institutions of collaborators; the main and specific objectives of the project; and the major SUA research priority and other priorities that the research project would address.

2.2.7 All new registered research projects must be reported to SUA Council in the quarter when the first disbursement of funds is received, indicating the name of the Principal Investigator, Collaborators and Collaborating Institutions, the title of the project, the total budget, duration of implementation and the funding agency(ies).

2.2.8 In a case of collaborative and externally funded research projects where the PI is not from SUA, the project must have a SUA staff to serve as a contact person. Such person shall be appointed by the collaborators from among them through consensus or by the University upon recommendations of the Committee responsible for overseeing Research and Publication if the situation so requires. The appointed person will be responsible for providing all necessary information as per this policy.

2.3 Reporting Progress of Research Projects

2.4.1 All research programmes and projects and/or activities conducted under the auspices of SUA or involving staff of SUA must submit technical report on quarterly basis every year for the duration of the project. The reports must be submitted through Research and Publication Documentation System (RPDS).

- 2.4.2 Such progress reports must be approved by respective College/Institute/School's Committee responsible for Research before submission to the Directorate responsible for research for onward presentation to Senate.
- 2.4.3 For a project failing to submit quarterly progress report through RPDS by due date shall have their project processing funds suspended until such a report is submitted.
- 2.4.4 All research projects must submit annual financial report at the end of each financial year. Such report shall be prepared and signed by the Grants Accountant, Chief Financial Officer, and approved by the PI.
- 2.4.5 In the case of SUA funded projects, any balance of research grant not spent during the period for which they were awarded will not automatically be carried forward without the approval of the Senate or Vice Chancellor on behalf, following recommendations from the Directorate responsible for research through a Committee overseeing Research.
- 2.4.6 In case of externally funded projects, any balance of research funds for a particular grant period will not be automatically carried forward without a written approval from the funding agency, unless the Grant Agreement allows otherwise.
- 2.4.7 Unless satisfactory reasons are given to the Directorate responsible for research, and the Grant Contract/Agreement/MoU allows, expenditure

already incurred by an applicant on a research project before the application for use of previous period balance is approved, shall not be reimbursed.

- 2.4.8 Project expenditure must be restricted to the approved activities, project period, and budget as per approved research proposal and as per Grant Contract/Agreement/MoU. No expenditures shall be allowed beyond the project contract period without the prior approval of the funder for No-Cost or Cost based Extensions.

2.4 Equipment Procured using Research Funds

The care and control of vehicles, equipment, and any other assets; and supplies bought out of research grant shall be as per SUA Financial Regulation (2018).

2.5 Subsistence, Per-diems, Reimbursements, Incentives and other Allowances

- 2.6.1 The payment of subsistence/per-diems, remuneration, compensation of extra time associated with research, and other allowances to the researchers shall follow the SUA Financial Regulation (2018) or where applicable the budgetary specifications of the respective grant as agreed upon by the funding agency and SUA. However, the option that offers the highest rates shall apply.
- 2.6.2 Acquisition and payment for transport shall abide by SUA Transport policy and financial regulations. Where SUA or a government department provides the vehicle for research activities, the researcher

shall pay a mileage charge of US\$ 0.45 per kilometre and shall be responsible for the costs of fuel and subsistence allowance for the driver and US\$ 0.9 per kilometer if SUA will cover for the costs of fuel and subsistence allowance for the driver.

2.6 Research Teams / Professorial Research Chairs

2.6.1 Research Teams/groups at SUA

- i. It is expected that all research applications and implementation shall be done by mutually and inclusively formed research teams from various academic units that specifically joined together to implement research activities based on their interests, expertise, and competencies as per SUA research theme/priorities chosen by the team.
- ii. Each research team must have a team leader, who will be appointed by, and from among, team members on consensus basis.
- iii. To be formerly registered and or recognized, the research team must submit their research priorities of interest, their CVs that demonstrate their competencies, a five-year plan, and or previous experiences of conducting research as a team to the Research and Publication committees.
- iv. The research team must report their implementation progress annually, which will be received, discussed and Approved by the Committee responsible for Research in the Departments/Centres/Colleges/Directorate

where the team leader is affiliated and finally to the Senate through the Committee responsible for overseeing Research and Publication.

2.6.2 Professorial Chairs

- i. The professorial chairs from within or outside SUA shall be appointed as per SUA Guidelines for the establishment of Professorial Chair (2018).
- ii. The requirements, duties, and responsibilities of the professorial chair will be as stipulated in the Guidelines for the establishment of Professorial Chair (2018).

2.7 Responsibilities of the Professorial Research chair, Principal Investigator and the Team leader

The responsibilities of the above designations shall be to:

- 2.7.1.1 Oversee day-to-day management of research project.
- 2.7.1.2 Prepare progress reports for submission to the Senate and the funding agency (ies) in time through the Committee responsible for Research in the Department, centre, College, and Senate.
- 2.7.1.3 Be a vote holder in accordance with the financial regulations agreed upon between SUA and the funding agency (ies).
- 2.7.1.4 Disseminate research results through publications in reputable refereed journals, seminars,

conferences, exhibitions, workshops, feedbacks meetings etc.

- 2.7.1.5 Coordinate and manage all research team members within and outside SUA.
- 2.7.1.6 Manage and utilise responsibly all assets and equipment procured using the research grant.
- 2.7.1.7 Be fully answerable to the Head of the respective Department, Centre, Institute, College, School, and Directorate.

3.0 GUIDELINES FOR RESEARCH ASSOCIATESHIP SCHEME

The research associateship scheme of SUA is geared at expanding SUA participation and increasing capacity to conduct joint research with national (external to SUA) and international scholars. Thus, Research Associateship scheme of SUA programmes are expected to generate high quality and talented academic professionals and contribute to high volume and quality research outputs, which can easily be translated into impactful and readily usable solutions in various perspectives.

Acceptance to research associateship shall be guided by the potential benefits of the proposed research to SUA and Tanzania, which will otherwise not easily be obtained without the collaboration from external researcher.

In order to obtain such associateship, scholars external to SUA must apply to the Directorate responsible for research using the application form indicated in Appendix 8 or through online application.

3.1 Qualifications of Research Associates

An applicant for registration as a Research Associate shall hold a Bachelor, Master or PhD degree, or an equivalent qualification from the recognized higher learning institution.

3.2 Application for Research Associateship

An application must be submitted to reach the University at least three months prior to the date the applicant intends to commence the research work to allow enough time for the respective Research and Publication Committees to review and recommend to the Senate for consideration and approval.

The following information must be provided to complete the application for research associateship at SUA:

- i) A research proposal concisely stating the objective, description of research problem, methodology, expected outputs, the period of research and location(s) where the study would be conducted in Tanzania.
- ii) Confirmation of availability of financial support to cover all costs of the proposed research project such as travel, research associateship fees, research funds and up-keep allowances, and or any other material support for the intended research.
- iii) Applicant's detailed curriculum vitae.

- iv) Name and email of the contact person at SUA or Head in the Department where the intended study would be hosted.

3.2.1 Registration

- i) An applicant, who meets the minimum requirements and approved by the Senate, will be awarded Research Associateship for a period ranging from a minimum of two months to a maximum of one year, depending on the applicant's request. Applications for periods of less than two months will also be considered, depending on the type of intended work.
- ii) Upon award of the Research Associateship, the researcher must pay all the fees as stipulated in Section 3.2.2
- iii) Applications for renewal must be submitted to the University at least one month before the expiry of registration. For renewal, the following documents will be required:
 - a. Dully-filled renewal application forms.
 - b. Confirmation of availability of funds to cover all the fees stipulated under section 3.2.2.
 - c. Justification for continuation of the project.
 - d. Submission of the report of the expiring period to the Committee responsible for overseeing Research and Publication.

3.2.2 Fees

- i) An application fee of US\$ 20, which is non-refundable, payable in cash, crossed cheque, electronic bank transfer or bankers order to the University.
- ii) Successful applicants will be required to pay fees directly to the University before or upon arrival at the University as follows:

SN	Fees categories	Postgraduate * students (US\$)	Senior Researchers ** (US\$)
1	Registration fee (one time)	100.00	US\$ 100.00
2	Administration fee (one time)	100.00	US\$ 200.00
3	Bench fee (per month)	50.00	US\$ 80.00

* Graduate students pursuing master's, PhD, or postgraduate diploma from other institutes other than SUA.

**Senior Researchers are independent researchers and researchers from various universities and research organizations, who meet the requirement for research associates at SUA.

- iii) Forty percent (40%) of the bench fee shall be used by the Department hosting the candidate to cover for the services to be offered by the department such as laboratory facilities or fieldwork, 40 percent shall be paid to the contact person, and 20 percent shall be used to pay for library services. The other Research

Associateship fees will be apportioned as will be approved by the University from time to time.

- iv) Applicants staying for a period of less than two months will be required to pay registration and administration fees at half the normal rate. Application and bench fees must be paid in full as stipulated in 3.2.2 (ii) even if the applicant stays for less than two months.

3.2.3 Associate Research Budget

The research budget will be determined by the sponsor or as presented by the researcher in the research proposal document. The University will have no obligation to administer such funds unless requested to do so by the funding agency (ies). Once the funding agency request University to administer funds, the University shall abide by its financial regulations and as stipulated in the section 4.0 in this document.

3.3 Obligations of Research Associate

The research associate shall be obliged to fulfil the followings:

- i) To observe and make sure all immigration formalities including residence permit are cleared before embarking on research.
- ii) To report to the office of the Director, Postgraduate Studies, Research and Technology Transfer upon arrival and before departure, without fail.
- iii) To obtain an introductory letter from the Vice Chancellor for the intended fieldwork outside SUA. The template of this letter can be obtained from the office of the Directorate responsible for research.

- iv) To be responsible to the Head of Department in which he/she is hosted.
- v) To participate in scholarly activities at SUA during his or her associateship period.
- vi) To give at least one seminar before the end of his or her research period.
- vii) To submit to SUA through the hosting Department and the Directorate responsible for research, a report of the research conducted and publications if any at the end of the research period using RPDS.

3.4 Obligations of the Contact Person for research associate

The contact Person shall be appointed by the Head of Department and endorsed by the Committee responsible for overseeing Research and Publication. The obligations of the contact person for research associate shall be to:

- i) Make sure the Research Associate is engaged in approved research activities.
- ii) Ensure that the Research Associate prepares and delivers at least one seminar on the subject of research before his or her departure.
- iii) Prepare advertisements and invitations for seminar to the intended participants and must include members of the Committee responsible for Research and Publication of the respective College/Directorate/School/Institute/Department.
- iv) Submit to the Director, Directorate responsible for research through the respective channels, a report

of the academic seminar conducted during the associateship period.

3.5 Accommodation

Research Associates either may be accommodated in the University hostels or may be assisted to find their own accommodation outside campus. In whatever case, the Research Associate will be expected to pay the necessary costs associated with house renting.

4.0 ADMINISTRATIVE COSTS AND REVENUE OF RESEARCH GRANTS

4.2 Administrative cost of grants

1. All research grants solicited by individual researchers, Departments, Colleges, School and Institutes shall be charged a mandatory flat rate of 10% of the total grant as an institutional fee as per the Resolution of the 107th Council Meeting held on 18th December 2008 to enable SUA meet overhead cost of administering grant, and contribute to infrastructural development and research coordination.
2. It shall be the responsibility of the prospective grantees to ensure that 10% grants institutional fee is included in the grant research proposal. The institutional fee shall be charged for each fund disbursement received.

3. The institutional fee from research grants will be managed monitored and administered according to the guidelines approved by the University from time to time.
4. The research project grants should allocate a budget line to cater for bank charges.
5. All applications for waiver of Institutional fee should be considered and approved by the Vice Chancellor.

4.3 Revenue from research projects and activities

Revenue generated from research activities such as sales of research products or produce and publications shall be administered as per SUA Income Policy (2001).

- i) For long-term projects, the revenue accrued shall be deposited in the SUA Income Generation account and the existing Internal Income Generation Policy guiding the apportionment and administration of the generated revenue shall apply.
- ii) For small grants (less than TAS 10,000,000/=), the income generated shall remain in the host department.

5.0 REGULATIONS AND GUIDELINES FOR DISSEMINATION OF RESEARCH FINDINGS

Sokoine University of agriculture advocates wide publications to share knowledge and disseminate research findings and trainings as an obligation of all researchers. However, Intellectual Property Right (IPR) should be observed before

publishing research findings. Publications is also a key measure for academic excellence and career development. SUA sets a strategic goal of increasing the volume and quality of scientific and popular publications. Thus, SUA has positioned itself to ensure that the pressure for publications to achieve academic excellence does not violate ethics in publication. Therefore, to ensure integrity in publication and dissemination of research findings the following regulations and guidelines to foster responsible attitude and conduct in authorship, review, and publication of scientific articles shall apply:

5.1 Publication by SUA staff and students

- i. All research grant recipients and students are required to publish and disseminate research results through media including scholarly articles, popular publications, public media, and policy briefs.
- ii. The Principal Investigator, SUA staff and students' supervisors must report, through the RPDS, all publications as an output of research and training in each quarter when the paper/book/popular publication is published.
- iii. SUA staff and students must deposit all their publications in SUA Institutional Repository (SUAIR) managed by the Sokoine National Agricultural Library.
- iv. To ensure that integrity in research and publications are fully observed as per rules and regulations for publication and dissemination

of research findings (Section 6) and SUA Code of Ethics for conducting research (2012), the following guidelines shall apply:

5.1.1 Authorship

As espoused by the copyright laws of Tanzania, the Vancouver Accord, and the SUA IPR Policy:

- i) Author(s) of any publication must have sufficiently participated in the work and will take public responsibility for appropriate portions of the content. For one to take credit as an author one must have:
 - a. contributed substantially in conceptualising and designing the research method, developing the protocol, and/or acquisition of data, or data analysis and interpretation
 - b. drafted the article or critically commented on the draft; and
 - c. approved the final version and prepared to take joint responsibility for it.
- ii) The corresponding author, who must be among the authors, shall be responsible for the integrity of the work as a whole.
- iii) Contribution in soliciting funds, collecting data, or administering/leading the research group/team alone shall not justify authorship by themselves. Such individual contributions should be included in the acknowledgement.
- iv) Authors shall jointly decide on the order of authorship; such decision must be made at an early stage of

drafting the paper, and when the write-up is finalised. Nevertheless:

- a. The first author must have significantly contributed to the publication. This is the preferred style unless the conventions of the field of research require another ordering.
- b. For joint publications by postgraduate student and supervisors, the postgraduate student shall be the first author.

5.1.2 Citation

All publications must ensure that all sources of information used are cited properly. The citations of sources of information is important for directing the reader for further information; and for providing due credit to the source of information or data, or quotations. It is therefore required that:

- i) Due credit is given to all sources of ideas, quotations or data used in any publication.
- ii) All citation must be made such that they do not violate copyright. The following shall be appropriately cited:
 - a. Direct quotations of published material. However, one may need permission from the copyright holder if they include long quotations;
 - b. The cited information shall involve description, summarising, or paraphrasing of any previous work;
 - c. Obtain permission from the copyright holder and citing the source appropriately if one uses previously published data, presented in any form

- (graphs, calculations, or tables); and
- d. Ideas from other published or unpublished sources.
- iii) When using the internet for scientific and academic work, authors shall make sure that the sources are reliable and scholarly and are referenced accurately as per the latest version of SUA Guidelines for Preparing Dissertation/Thesis and other Publications.

5.1.3 Acknowledgement of Financial and other Support

SUA provides significant support to research especially in terms of paying the researchers' salaries, providing infrastructure for research, and direct grants or awards. Similarly, significant number of external organizations provide substantial direct research support through competitive research grants. Collaborative research may lead to indirect support for a research publication from several different institutions. It is important that all such support be appropriately acknowledged.

SUA shall require that any publication emanating from research grants from SUA or other resources acknowledges receipt of such grant.

5.1.4 Affiliation of Publications

- i) All publications from work conducted while the author(s) is entirely at SUA including students must use the University address/SUA as affiliation even if the publication came out after the author has left the University.

- ii) For publications originating from works done in more than one institution, the addresses of each collaborating institution shall be used as the authors' address or address of institution where much of the work was done should be used. In such cases, one institutional address shall be used as an alternate address while the main address shall be that of the institution at which much of the work was done and the addresses of other institutions will be provided as footnotes.
- iii) The publication authored by SUA staff while on sabbatical leave must include SUA address.

5.1.5 Peer Review

Peer review is important in preserving the quality of publication. Sokoine University of Agriculture being an Institution with the mandate and obligation of advancing knowledge has the responsibility of maintaining and preserving quality of publications.

Thus, SUA has built a culture of peer review as a professional obligation for researchers to use their time willingly and freely to participate in peer reviews of papers to ensure quality publications.

Peer review is a privilege and must be done professionally and confidentially. The following are guidelines for reviewing scientific papers:

- i) Reviewers must be confident and review the work confidentially and objectively.
- ii) Reviewers shall abide by the review time given by the editor. In case, one cannot complete the review in a

reasonable time, he/she must request the editor to select another reviewer.

- iii) Reviewers must not use or disclose any ideas or results from the work under review until the work is published.
- iv) Reviewers shall avoid a conflict of interest. If the referee is following a very similar line in his/her own work, under no circumstances the work under review should be held up. If the reviewer is in any doubt of his/her impartiality, he/she shall return the work to the editor with the request that another reviewer be found.
- v) Reviewer may consult a colleague for technical advice, provided that there is agreement to ensure confidentiality is maintained. The consultation should be disclosed to the editor.

5.1.6 Redundant Publication

Redundant publication is the unnecessary publication of similar material in different places. The SUA regulations require that:

- i) Publications of the same or substantially similar article shall not appear in different sources. In the case of redundant publications, only the earliest publication shall count. However, the redundant publication shall not include repackaging of findings reported in a published article for different readership or in an edited compilation by agreement with the editor(s) or publisher(s).
- ii) Researchers must be careful in choosing the most effective way of publishing a particular research result

or a set of research results considering the SUA IP Policy. This shall be done with regard to the best way of communicating the results and not maximising the publication count.

5.1.7 Plagiarism

Plagiarism is representing other peoples' ideas and work as your own and it is an academic offense/fraud. It is common for researchers to do literature review when writing scientific and technical reports by reading a wide range of literature in their areas of study. It is imperative that researchers must ensure integrity in writing and avoid intentional, unintentional, or accidental plagiarism as stipulated in SUA's Anti-plagiarism Policy of 2019.

Forms of plagiarism include:

- 5.1.7.1 Presenting third party work as your own;
- 5.1.7.2 Quotations (verbatim) without clearly identifying quotes by quotation marks or indent and acknowledgement, Copying and pasting extensively from electronic documents with only minor changes of text;
- 5.1.7.3 Improper paraphrasing by changing only few words without due acknowledgement of the original authors, inaccurate citation including citing what you have not actually consulted; and
- 5.1.7.4 Presenting joint work as one's own and failing to acknowledge contribution of others.

5.2 Supporting Publications

To facilitate SUA staff to author and publish books and articles in reputable publishers, authors will be assisted to cover publishing cost depending on the availability of funds.

- 5.2.1 For books, a facilitation cost shall be paid to a prospective author or group of authors upon presentation of a comprehensive typewritten manuscript draft in the form of a book. The facilitation cost shall be paid to support retreats to aid in the process of upgrading and editing to prepare it for submission to a publishing house. The recipients of the support must indicate when the book will be submitted to the publisher.
- 5.2.2 Upon successful publication and submission of a copy of the book to the Committee responsible for Research and Publications, the author/authoring team shall be paid a publication allowance of USD 150.
- 5.2.3 For papers, a manuscript processing fee/publication fee/open access fee shall be paid after authors submit evidence of submission and/or acceptance of article by the reputable publisher and the invoice.
- 5.2.4 The book publication grant and publication fees shall be paid, subject to fund availability, and upon approval by Senate through respective research and publications committees.

5.3 Scientific journals hosted by SUA/SUA-affiliated professional associations

- 5.3.1 Sokoine University of Agriculture is determined to ensure sustainability of Journals hosted at SUA as its obligation to the provision of quality publications. Thus, SUA, through the Committee responsible for overseeing Research and Publication shall allocate from its budget funds to support partially the production of such journals.
- 5.3.2 To ensure sustained circulation of such journals, the Committee responsible for Research and Publication at different levels shall encourage respective professional associations to incorporate within their membership fees a token sum for supporting the subscription to journals.
- 5.3.3 The Committee responsible for overseeing Research and Publication shall ensure that the SUA hosted journals issues are of good quality, timely released and maintain regularity. Thus, all Journals hosted at SUA must submit progress reports to College/School/Centre/Directorate Committee responsible for research and publication, which shall be forwarded to the Senate Committee responsible for overseeing Research and Publication for approval.
- 5.3.4 Sokoine University of Agriculture through the Committee responsible for overseeing Research and Publication shall ensure that the SUA hosted Journals are of international standard, including having an international editorial board, are indexed, and are online.

5.3.5 The University shall use innovative means to enhance visibility and accessibility of its Journals to the wide scientific community, without infringing copyright and quality of publications.

6.0 OUTREACH

Researchers shall package research findings and reach out to target stakeholders as per SUA Outreach Policy of 2017.

7.0 REGULATIONS AND GUIDELINES FOR ETHICAL CONDUCT IN RESEARCH AND PUBLICATION

SUA has put in place Code of Conduct for Research Ethics. The following mechanisms and regulations for ensuring compliance with ethical conduct shall apply:

7.1 Research ethics clearance

The Directorate responsible for research and publication shall build capacity of SUA researchers and students regarding research ethics.

All research conducted at SUA must be reviewed and given a research ethical clearance. Application for research ethics clearance must be submitted to the committee responsible for research at least 15 days before expected commencement

of the study. The following procedures for research ethics clearance shall be followed:

7.1.1 Research ethics clearance for research involving human and animal subjects

7.1.1.1 Research involving human and animal subjects must apply for ethical clearance to the College Committee responsible for research, and be evaluated using Ethical Clearance Form as shown in Appendix 10.

7.1.1.2 The College/Academic Unit committee responsible for research shall forward its recommendations for ethical clearance to Research Ethics Committee (REC) for approval.

7.1.1.3 All research involving human and animal subjects shall be approved by the Institutional Review Board (IRB) after approval and recommendations from REC, before they are issued with ethical clearance by the respective national ethics committees.

7.1.2 Research ethics clearance for social interactions involving human, physical science, biological materials/plants/crops, chemicals and others

7.1.2.1 For research involving social interaction with people, physical sciences, plants/crops/natural resources, agrochemicals and other chemicals, other academic research including ICT, researchers shall apply for ethical clearance and be evaluated using Ethical Clearance Form as shown in Appendix 11.

7.1.2.2 The Committee responsible for research and publications of respective academic unit shall evaluate and approve/disapprove the research proposal for ethical clearance on behalf of REC.

7.1.2.3 All research ethical clearance approved/disapproved by the Academic unit's committee responsible for research shall be submitted to SUA Research Ethics Committee (REC) for records.

7.1.2.4 A non-refundable fee for application for research ethics evaluation of amount approved by the University from time to time shall be charged.

7.2 Research clearance

All researchers conducting research outside SUA must obtain research clearance from the Vice Chancellor on behalf of COSTECH. Researchers and Research Associates must apply to the Vice Chancellor for research clearance through the Directorate responsible for research and Deputy Vice Chancellor (Academic) as per guidelines shown in Appendix 7.

7.3 Management of Research Data, Materials, Specimens and Records

Sokoine University of Agriculture has the responsibility of preserving research data generated at the University. Proper handling and management of data, research materials, specimens, and records are essential for ensuring research integrity as stipulated in the SUA Code of Conduct for Research Ethics. Increasing movement of researchers from one institution to another and from one country to another

necessitates SUA to have guidelines on data, materials, specimens, and records management including access, transfer, and retention. The following are guidelines for management of research data, materials, specimens, and records:

7.3.1 Data recording and retention

- i) Maintaining accurate and retrievable data is essential for advancing knowledge through research. It is the responsibility of the researcher to accurately record, retain, and store research data with sufficient details for the duration of the project as per SUA Code of Conduct for Research Ethics.
- ii) Such data shall be archived by the institutional repository as per SUA's institutional repository policy. The data recorded and stored should permit replicating the study and provide clarification in case there are questions, errors, or misinterpretation that may arise.
- iii) The data can be maintained in hard copy or electronic means, or field book, which properly indicate the title of research project, names of investigators, names of numerators, and research assistants.
- iv) The laboratory where the primary data were generated must keep a copy of all data.
- v) For students, all media used to manage data must be submitted to the Supervisor and Head of Department, or the Principal Investigator (PI) in case the training is funded by a project. Supervisors and PIs should make sure that students or researchers in their projects submit data before they leave the University.

7.3.2 Data ownership and access to data

- i) The PI and the University have the responsibility and the right of access, use, and maintenance of the original data.
- ii) All research data generated by students and researchers conducting research at SUA belong to Sokoine University of Agriculture.
- iii) Although the primary data are kept by the University, the principles of academic freedom and intellectual integrity will be observed and the investigator will be allowed to retain copies of research data, records, and part of the materials created in the course of doing research when they leave the University.
- iv) Funding agencies supporting research may have the right to review the data from the research supported by them.

7.3.3 Data, materials, and specimens sharing

The following regulations/procedures shall apply to the sharing and transfer of research materials:

- i. Data and research materials may be shared upon request by other researchers and the University will consider the request based on the spirit of collegueship in science and the applicable institutional and national policies and guidelines.
- ii. Permit to export and import research materials and specimens shall be issued by the respective Government Agencies with such mandate under the respective ministries as guided by national and

international conventions such as Convention on International Trade in Endangered Species (CITES), Nagoya Protocol 2010 under the auspices of the Convention on Biological Diversity (CBD).

- iii. Clearance for transferring data and materials related to human and animal samples outside the country shall be obtained from the ministry responsible for Health and Livestock, respectively, while clearance for transferring plant materials including seeds will be obtained from the Ministry of Agriculture. Clearance for minerals, rocks, and soil will be obtained from the Ministry of Minerals.
- iv. Approval for the transfer shall first be given by institutional REC and IRB at SUA, before submitting the request for clearance to respective Government Agencies. Such transfer shall be governed by a Materials transfer Agreement approved by the University.

7.4 Monitoring compliance to ethical conduct

7.4.1 For the purpose of ethics in research, the Committees responsible for Research and Publication at Department/College/Institute/School/Directorate/Centre level have the responsibility of monitoring and evaluating compliance to ethical conduct of researchers.

7.4.2 Non-compliance of research ethics, misconduct, and other breach of ethical conduct including all forms of fraud and

plagiarism shall be reported to SUA Research Ethics Committee, which shall consider and recommend the appropriate measure to the Senate through the Directorate responsible for research and publications.

7.5 Institutional set up for research ethics review

7.5.1 SUA Institutional Review Board (SUA IRB)

This is a university-wide Review Board consisting of diverse members from within and outside SUA, responsible for receiving, critically evaluating, and approving all research proposals and recommendations from SUA REC for ethical clearance. The SUA IRB will then recommend the proposal to the National Review Boards as per discipline being researched. All IRB recommendations/approval of research involving human subjects or trials of human drugs shall be forwarded to the National Health Research Ethics Committee of NIMR (NaHREC), while IRB recommendations on research proposal dealing with animal subjects shall be forwarded to the Tanzania Livestock Research Institute (TALIRI). The SUA IRB shall be the final approval authority for ethical clearance for proposals in the humanities and social sciences, ICT and other academic research. Applicable fees will apply for all applications for ethical review.

7.5.2 SUA REC committees

- 7.4.1 This is a university-wide technical committee responsible for receiving and evaluating all matters related to non-compliance of research ethics, research misconduct, and other breach of research ethics.
- 7.4.2 The REC shall consider and forward their recommendations to IRB for research dealing with human and animal subjects.
- 7.4.3 Being cognizant of the peculiarities of different disciplines, the SUA-REC shall consist multidisciplinary members from SUA.

8.0 APPENDICES

8.1 APPENDIX 1: Format for Application for Research Grant

8.1.1 Internal Grants

1. Name(s) of researchers(s): -----
2. Nationality: -----
3. Academic qualifications: -----
4. Department/College/School/Institute/Centre: -----
5. -----
6. Research Theme:.....
7. Title of the proposed research project:
8. What has already been done (background):
9. What remains to be done (definition of problem)
10. Objectives of the proposed research project:
11. Methodology and nature of the work:
12. Expected results and importance:
13. Duration of the project:
14. Detailed budget and the amount requested from the Research and Publications Committee;
 - a) Equipment and other materials:
 - b) Travel (mileage based on approved rates):
 - c) Subsistence (use current rates):

- d) Others (specify the items and their costs):
- 15. Are you in receipt of a research grant from SUA Research and Publications Committee or from any other sources?
- 16. Names and addresses of two referees:
- 17. Declaration of the application:

I/We the undersigned have read and understood the Rules and Regulations governing the granting of research funds by the University and undertake to abide by them if my/our application is successful.

Remarks by Project Leader/PI:-----

Date:..... Signature:

Remarks by the Head of Department: -----

Date Signature:

*Remarks by the College / School / Institute / Centre
Research and Publication committee:-----*

Date: Signature:

Remarks by the College / School / Institute / Centre Board:

Date: Signature:

*Remarks by the Directorate of Postgraduate Studies,
Research, Technology Transfer and Consultancy -----*

Date: Signature:

8.1.2 External Grants

1. All research proposals for submission to external funding agency must be submitted to the Director responsible for research and publications should be done at least 5 working days before the deadlines.
2. Each proposal should state the main SUA focus area it address and other sub theme it will contribute.
3. Approved proposals will be issued with letter of support will be signed by the Director, responsible for research and publications.
4. Research proposals to be approved should conform to SUA's research focus areas and guidelines.

8.2 APPENDIX 2: Criteria for Selecting Research Projects for Funding

Research grants will be awarded on competitive basis. There will be calls for research proposals upon availability of funds. Below are the selection criteria for proposed projects.

- i. Relevance to SUA Research Focus areas and national goals.

- ii. Consistency with the Research Focus and expected outputs.
- iii. Expected output will be geared towards social and economic development.
- iv. Applied research and/or basic research where similar studies have not been conducted,
- v. Multidisciplinary–multidisciplinary projects will be more encouraged.
- vi. Consideration of relevant cross-cutting issues.
- vii. Cost-effectiveness.
- viii. Policy relevance.

8.3 APPENDIX 3: Review and awarding procedures for research Concept Notes/Proposals

- i. There shall be calls for concept notes. The concept notes will be evaluated based on set criteria and with transparency.
- ii. The winning ones will be recommended for full project proposal development.
- iii. Review of concept notes and full proposals will be judged by an independent panel of at least 3 experts in the field with strict integrity.
- iv. The criteria for review will be made in direct reference to the information provided in the call.
- v. When a call invites participation from a diversity of discipline/institutions, it will be the duty of the

research and publication committee to ensure equity in the allocation of the grants transparently and with high integrity across the participating disciplines/institutions.

8.4 APPENDIX 4: Format for Research Project Registration

Title of the project:			
Name of the Project leader (PI):			
Collaborating researchers and their departments of affiliation and Institution:	1. SUA collaborating researchers: 2. Others collaborators:		
Starting date:			
Duration:			
Expected date of completion:			
Project's Main objective:			
Research target sites:			
Sponsor/Funding Agency:			
Total budget:			
Annual disbursement:			
Signature of Project leader:		Date:	
<i>Commitment by PI: By signing, I agree to abide to all SUA research policy, regulations and guidelines</i>			
	Remarks	Signature	
Head of Department:			
Date:			
Principal/Dean/Director:			

Date:		
Director PRTC:		
Date:		
Registration number (To be issued by the office of the Directorate responsible for research):		

8.5 APPENDIX 5: Format for Research Progress Report For both Internally and Externally Funded Projects

Title:			
Project leader:			
Collaborating researchers:			
Duration:			
Overall objective:			
Specific objectives:			
Sponsor:			
Total budget:			
Installment of fund received		Cumulative fund received	
Total expenditure during this reporting period		Cumulative expenditure	

Annual work plan			Year 1	Q1 (July-Sept)	
Objective	Planned activities	Planned Target/ outputs (to be reported annually)	Time frame	Progress towards achieving targets/ output	Impacts(describe society/institution change of practice/ policy/attitude that can be due project implementation or results)

O1	A1	T1	June – Aug		
Problems Encountered					
Corrective Measures					

8.6 APPENDIX 6: Format for Terminal Research Report

1. Title:		
2. Project leader:		
3. Department/College/School/ Institute/Centre:		
4. Major SUA Research focus area and other research focus areas that the project contributed		
5. Collaborating researchers:		
6. Duration:		
7. Overall objective:		
8. Specific objectives:		
9. Sponsor:		
10. Total budget:		
11. Fund received for the whole period of implementation	12. Total expenditure	
13. Results: What has been accomplished		

14. What are the main results of the research and recommendations (base on the specific objectives)	
15. Any deviations from the objectives set	
Project outputs <i>(List them as per SUA format):</i>	
a) Publications:	
(i) Publications in journals:	
(ii) Workshop/Conference papers:	
(iii) Submitted papers:	
iii) Extension manuals/popular publications	
b) Capacity building <i>(Give number of stakeholders trained and what training/ skills given)</i>	
Dissertation and theses <i>(List as per SUA format and state the status of student e.g. proposal development, data collection, or completed)</i>	
Innovations (patent/copyright/license/technology)	
Impact (describe society/institution change of practice/policy/attitude that can be due project implementation or results)	
Grant retirement statement	Submit official financial statement

Comments from the Project Leader	----- Date: Signature:
Comments from the Head of Department:	----- Date: Signature:
Comments from the College/Institute/ Centre Research and Publications Committee:	----- Date: Signature:
Comments from the College/School/ Institute/Centre Board	----- Date: Signature:
Comments from Senate Research and Publications Committee	----- Date: Signature:
Comments from Senate	----- Date: Signature:

8.7 APPENDIX 7: Format for Clearance for Conducting Research in Villages/Wards/Districts

8.7.1 Swahili Version

CHUO KIKUU CHA SOKOINE CHA KILIMO OFISI YA MAKAMU WA MKUU WA CHUO

Kumb:.....

Tarehe:.....

Prof./Dk./Bw./Bi.....

UTAFITI WA WAALIMU NA WANAFUNZI WA CHUO KIKUU

Madhumuni ya barua hii ni kuwatambulisha/
kumtambulisha kwako Ndugu:

.....
ambao / ambaye ni mtafiti / watafiti / mwalimu / walimu / mwanafunzi / wa Chuo Kikuu cha Sokoine cha Kilimo. Huyo / Hao ndugu hivi sasa yumo / wamo katika shughuli za utafiti. Kufuatana na waraka wa Serikali wenye kumbukumbu namba MPEC / R / 10/1 wa tarehe 7 Julai 1980 na Hati Idhini ya Chuo Kikuu cha Sokoine cha Kilimo, 2007, Makamu wa Mkuu wa Chuo alipewa madaraka ya kutoa vibali vya kufanya utafiti nchini kwa Waalimu, Wanafunzi, na Watafiti wake kwa niaba ya Serikali na Tume ya Sayansi na Teknolojia. Hivyo basi tunaomba uwapatie / umpatie Wataalamu / Mtaalamu walio tajwa/alijetajwa hapo juu msaada / misaada / atakao hitaji / watakao hitaji ili utafiti wake / wao uweze kufanikiwa. Gharama za utafiti, malazi

na chakula chake/chao pamoja na usafiri wake/wao atalipia/watalipia mwenyewe/wenyewe. Msaada anao hitaji/wanao hitaji Zaidi ni kuruhusiwa kuonana na viongozi na wananchi ili aweze/waweze kuzungumza nao na kuwauliza maswali aliyo/waliyo nayo na kufanya shughuli nyingine za utafiti.

Utafiti wake/wao ni juu ya

.....
.....

Sehemu anazo fanyia/wanazofanyia huo utafiti ni.....
.....Ikiwa kuna baadhi ya sehemu ambazo zinazuilika ni wajibu wako kuzuia zisitembelewe.

Muda wa utafiti huo ni kuanzia tarehe..... Hadi.....
Ikiwa utahitaji maelezo zaidi wasiliana na Makamu wa Mkuuwa Chuo.

MAKAMU WA MKUU WA CHUO

Nakala kwa mtafiti/watafiti

8.7.2 English Version

SOKOINE UNIVERSITY OF AGRICULTURE OFFICE OF THE VICE CHANCELLOR

Ref:..... Date.....

To:
.....

RE: RESEARCHBYRESEARCHASSOCIATES, STAFF FOR STUDENTS FROM SOKOINE UNIVERSITY OF AGRICULTURE

The main purpose of this letter is to introduce to you

Prof./Dr./Mr./Mrs./Ms..... who is/
are Research Associate(s), staff(s) or student(s) of Sokoine
University of Agriculture. The individual(s) mentioned above
is/are planning to undertake research activities in your areas.

With Reference to Government Circular No. MPEC/R/10/1
of 7 July 1980 and the SUA Charter of 2007 the Vice
Chancellor is authorized to issue permit(s) for undertaking
research in the country to University staff, student(s)and
Research Associate(s)on behalf of the Government and
Commission for Science and Technology.

I therefore request that this/these expert(s) mentioned above
be given the necessary assistance so that he/she/they can
accomplish his/her/their research undertakings.

Accommodation, food, and transport costs will be paid by himself/herself/themselves. The main assistance he/she/they need(s) is permission to meet different people so that he/she/they can interview them.

The main objective(s) of the research is/are..... The areas selected for conducting research are:.....

If there are restricted areas, it is upon you to restrict this/these researcher(s) from visiting them. The expected date of commencement is.....up to.....

If there are any queries, please contact the Vice Chancellor, Sokoine University of Agriculture, P. O. Box 3000 Chuo Kikuu, Morogoro, Tanzania.

Signed

.....
VICE CHANCELLOR

cc: Researcher (s)

8.8 APPENDIX 8: Application for Research Associateship at SUA

1. Surname: Other names:.....
Nationality: Qualifications:
2. Institution of affiliation (to attach letter of recommendation):
3. Source of funds (to attach letter of approval).....
4. Estimated period of research: Start date:.....
Completion date:
5. Field and topic of research:
6. Research objectives:
- Location of research (e.g. Region, District, etc.) and duration of stay in each location.
7. Access sought:
 - a) Public records: **Yes/No** If Yes which records:.....
 - b) Interview with Government Officers: **Yes/No** If Yes which classes of Government Officers?.....
 - c) Interview with members of the Public: **Yes/No**

If Yes, on what subjects, where and how will they be selected?

8. Please, attach:
 - (a) Short description of your research proposal of one page in length (3 copies)
 - (b) Your *curriculum vitae* (3 copies)
 - (c) Name and addresses of three referees
 - (d) Home contact person and address in case of emergency

9. Declaration by applicant(s):
I have read and agree to abide by the regulations and guidelines for research associateship if my application is approved. I also abide to conduct myself with discretion while in Tanzania.

Signature: **Date:**

10. **FOR OFFICIAL USE ONLY**

- (a) Recommended/not recommended by the Board of the College / School / Institute of
- (b) Local contact person(s) nominated:
Name:.....
Email:.....
- (c) I confirm that this application has been recommended for approval by the Board of the College / School / Institute / Centre of

Signature (Principal/Dean/Director): Date:

- (d) Recommended for approval by Research and Publications Committee:

Signature (DPRTC): Date:

- (e) Approved by Senate

Signature (Vice-chancellor): Date:

Please note that:

- (I) Applications must be submitted at least three months prior to the intended period of commencement of research.
- (II) Applicants should not arrive in Tanzania before receiving a letter from the University, formally according them the status of Research Associateship.

8.9 APPENDIX 9: Format for Research Associate's Report to Directorate responsible for research

1.	Name of Research Associate:	
2.	Registration Number:	
3.	Institution of affiliation:	
4.	Approved date for research commencement:	
5.	Approved date of end of associateship:	
6.	Actual date of research commencement:	
7.	Research topic:	
8.	Research objectives:	
9.	Summary of activities undertaken:	

10.	Seminar presentations: Chairpersons, topics and dates:	
11.	Actual date of completion:	
12.	Summary of accomplishments:	
13.	Signature of the candidate:	
	Date:	
14.	General comments and recommendations by the Contact person:	
15	Name and Signature of the Contact person:	
	Date:	

This report should be submitted quarterly, i.e. end of March, end of June, end of September and end of December OR at the end of stay for candidates staying for less than three months

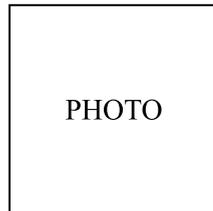
8.10 APPENDIX 10: Evaluation of research proposal using of animal as research subject for ethical clearance

 <p style="text-align: center;">SOKOINE UNIVERSITY OF AGRICULTURE</p> <p style="text-align: center;">DIRECTORATE OF RESEARCH, TECHNOLOGY TRANSFER AND CONSULTANCY</p>			
Our Ref:	RPGS/R/ETHICS/	Our Date	
Your Ref:		Your Date	

SOKOINE UNIVERSITY OF AGRICULTURE Approval for animal and human use protocol Application form

PREAMBLE:

This form is intended to guide researchers and reviewers on key information, which is required with regard to the use of human and animal subjects in research and safety of personnel involved. The aim is to assist the smooth review process of research protocols and compliance with the current SUA code of conduct for research ethics (2012) and Animal welfare act, 2008. **Applicants are required to complete this form electronically, print, sign, and submit on top of the research proposal to be evaluated.**



SECTION A: Project summary

Project No.	
Location of Animal housing facility	
Scheduled start date	
Scheduled end date	
Potentially hazardous substance will be used in this study.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Section B: Personnel and their roles in the proposed research

	First & Last Name	Responsibility	E-mail
1	Name	Responsibility	email
2	Name	Responsibility	email
3	Name	Responsibility	email
4	Name	Responsibility	email
5	Name	Responsibility	email
6	Name	Responsibility	email
7	Name	Responsibility	email

Section C: Methodology Provide brief description of the study

Click here to enter text

Section D: Experimental animals

(i) Description of animals and sample size

	Group/ Block	Type of animals (example: goat, sheep, cattle, mice)	Number of animals	Sex/gender (Male/ Female)	Genetically modified? (Yes/No)
1	Enter text	Enter text	Enter number	Click here to enter text	Click here to enter text
2	Enter text	Enter text	Enter number	Click here to enter text	Click here to enter text
3	Enter text	Enter text	Enter number	Click here to enter text	Click here to enter text
4	Enter text	Enter text	Enter number	Click here to enter text	Click here to enter text
5	Enter text	Enter text	Enter number	Click here to enter text	Click here to enter text
6	Enter text	Enter text	Enter number	Click here to enter text	Click here to enter text

- (ii) ***Describe briefly, methods used to obtain the number of animals described in section D (i) above**

Click here to enter text

*Sample size should be determined using a formal method such as power analysis. A statistical power of 0.8 (80%) is acceptable as a basis for sample size calculation to avoid an unnecessary use of large numbers of experimental animals. Any overpowered experiment with large numbers of experimental animals or underpowered experiment, with sample size that is too small to detect a meaningful biological difference is not acceptable.

- (iii) **Explain if there was a consideration for other models that could be used as alternatives to animals**

Click here to enter text

Section E: Describe housing conditions and feeding protocol

Group/Block	Single/ Group housing	Beddings Used?/ indicate type of beddings and any enrichment	Type of feeds	Feeding frequency	Containment level if any
Click here to enter text	Click here to enter text	text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text

*Add rows as needed

Section F: In the context of the health and well-being of the study animals.

Will antibiotics and / or other antimicrobial prophylactics and / or therapeutics be used? If yes, fill in the table below.

Experimental group	Name of the drug	Concentration and volume	Route of administration	Frequency and duration
Click here to enter text				
Click here to enter text				
Click here to enter text				
Click here to enter text				

Section G: If analgesia (= pain relief) will be used fill in table below

Experimental group	Name of the drug	Concentration and volume	Route of administration	Intervals/ duration
Click here to enter text				
Click here to enter text				
Click here to enter text				
Click here to enter text				

Section H: If anaesthesia will be used, fill in the table below

Experimental group	Name of the drug	Concentration and volume	Route of administration	Intervals/ duration
Click here to enter text				
Click here to enter text				
Click here to enter text				

*Add rows as needed

Section I: If biological will be used (example xenografts, vaccines etc.), fill in the table below

Experimental group	Name of the biological substance and catalogue number, if applicable	Concentration and volume	Route of administration	Intervals/ duration
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text

*Add rows as needed

Section J: Biosecurity measures

- (i) **In case potentially infectious materials are used or handled, describe measures in place to limit transmission between animals**

- (ii) **In case potentially infectious materials are used or handled, describe measures in place to limit transmission of zoonotic pathogens between animals and humans**

Click here to enter text

(iii) Describe how environmental contamination will be prevented in this study

Click here to enter text

Section K: Describe the sequential order of actions in order of time

Example: Acclimatization, treatments, samplings and frequency

*Time frame: (In days/weeks/ Months or years)	Experimental group/Block	Description of treatment	duration of treatment	Level of discomfort as consequence of the treatment
Click here to enter timeline when treatment/ experiment will be done	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter timeline when treatment/ experiment will be done	Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text

Levels of discomfort: No discomfort, moderate, moderate to severe, severe

*Add more rows as needed

Section L: Well-being control and humane endpoint

- (i) **Experiment nonspecific clinical signs such as tumour, infectious and non-infectious illness may have an impact on the welfare of the animals. Describe measures that will be taken if such cases are encountered.**

Click here to enter text

- (ii) **In case of experimental specific illness, describe measures that will be taken if such cases are encountered**

Click here to enter text

- (iii) **When do you consider it necessary to treat or to euthanize an animal (humane endpoint)? Please indicate the size / score of the clinical phenomenon or other clinical manifestations on the basis of which you decide that the (humane) endpoint of the experiment has been reached**

Type of illness/ Clinical manifestations	Anticipated level of discomfort	Decision to be taken	Justification of the decision taken
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text
Click here to enter text	Click here to enter text	Click here to enter text	Click here to enter text

Levels of discomfort: No discomfort, moderate, moderate to severe, severe

Section M: Disposal of animals at the end of experiment

- (i) **Describe in details how animals will be euthanized, if applicable**

Click here to enter text

- (ii) **Describe in details how remains of dead animals will be disposed of after sampling. If the site of disposal is outside the experimental unit, explain how transport of carcasses will be done**

Click here to enter text

Section N: Use of human subjects*

Will the project engage human subjects as part of experiment? Examples: administration of biologicals, drugs, or questionnaires? Fill accordingly if using human subjects, otherwise leave blank

I have ethical clearance to use human subjects in my research from NHRERC with reference No.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	I have applied for ethical clearance to use human subjects in my research from NHRERC	Yes <input type="checkbox"/> No <input type="checkbox"/>
I have approval to use human subjects from SR & PC with reference No.....	Yes <input type="checkbox"/> No <input type="checkbox"/>	I have applied for ethical clearance to use human subjects in my research from SUA SR & PC	Yes <input type="checkbox"/> No <input type="checkbox"/>

*All human related research activities must be approved by Senate Research & Publication Committee (SR & PC) before the research study commences. In addition, all human health research projects must be submitted to the Medical Research Coordinating Committee (MRCC) through National Human Health Research Ethics Review Committee (NHRERC), hosted at the National Institute for Medical Research Institute (NIMR) for approval.

Section O: Declaration

Name of the applicant, signature, and date

Click here to enter first and last names in Capital letters

Name of the Project Leader, signature, and date

Click here to enter first and last names in Capital letters

By signing this form, you agree to take responsibility to ensure that all personnel in contact with animals or potentially hazardous materials are properly trained to ensure their safety and safety of animals in accordance with the SUA code of conduct in research ethics (2012) and SUA research policy (2010).

STATEMENT OF RESEARCH ETHICAL APPROVAL

This project has been considered and has been **Approved/Not Approved** by the Department/College Research and Publication Committee, Department/College/Unit.....

Signature:.....Name:.....Date:
(Chairperson, Research & Publication Committee)

1. This project has been considered and has been **Approved/Not Approved** by the Research Ethical Committee, DPRTC

Signature..... Name: Date:
(Chairperson, Research Ethics Committee, DPRTC)

For not Approved:

The applicant is required to revise the application by addressing all concerns raised by reviewers

Other reasons

2. This project has been considered and **Approved/Not Approved** by the Committee responsible for overseeing Research and Publication, Sokoine University of Agriculture

Signature:..... Name:..... Date:
(Chairperson, SRPC)

Section O : Approval

Date received by Institutional Review Board (IRB):

Received by.....

Date of approval:

Signature of Chairperson.....

Approval reference No.....

Date.....

8.11 APPENDIX 11: Evaluation of research proposal for ethical clearance

	SOKOINE UNIVERSITY OF AGRICULTURE DIRECTORATE OF RESEARCH, TECHNOLOGY TRANSFER AND CONSULTANCY		
	Our Ref:	RPGS/R/ETHICS	Our Date
Your Ref:		Your Date	

EVALUATION OF THE RESEARCH PROPOSALS FOR ETHICAL CLEARANCE

All research projects at SUA are subject to evaluation for Ethical Clearance in accordance with the SUA Code of Conduct for Research Ethics (2012).

Applicant:.....

Affiliation:

- 1. Staff
- 2. Postgraduate student
- 3. Undergraduate student
- 4. Research Associate

Research Supervisor/Contact person at SUA:
 Department/Unit/Centre:
 College/Institute.....
 Title of project:
 Start Date:.....

Section A: Research Clearance Initial Assessment

S/N	Requirements:	YES	NO
A1	Does the proposed research involve human health, clinical trials, live animals?		
A2	Does the research project involve human subjects?		
A3	Does the research involve participants who are unable to give informed consent? (e.g. age 16 or under, and over who have learning disabilities)		
A4	Do the research activities involve use of potentially identifiable personal records or information?		
A5	Does the research involve testing drugs, food, or nutritional supplements?		
A6	Is the research relevant to the needs and interest of the community in which the study is conducted?		
A7	Does the research involve use of genetically modified organism (plants/microorganism/ animals)?		

NB: Where relevant, researchers must comply with the Guideline for conducting clinical trials in Tanzania (2011) and other relevant guidelines provided under Section 63(1) of Tanzania Food, Drugs and Cosmetics Act 2003 (4).

Comment of the Reviewer(s):

Section B: Assessment of Compliance of Research Ethics

	Methodology	YES	NO
B1	Does the research have valid scientific methodology?		
B2	Does the researcher(s) ensure fair selection of participants?		
B3	Does the research team include qualified Tanzania researchers and research assistants to conduct research involving human subjects? Name of Tanzanian: Qualification:		
B4	Is (are) the researcher(s) committed to ensure that all participants are given all the information required to enable the participant gain reasonable understanding of the research, its consequences and purpose. The participants may also be informed about the source of funds for the research in question .		
B5	Will the researchers explain the limitations, expectations, and requirement pertaining to the role of participant in the research?		
B6	Does the research ensure protection of the environment from contamination from research materials? Does the research ensure safe handling and disposal of GMO/ toxic materials?		
B7	Does the research have required national/ international permit to use restricted materials/ GMOs/toxic chemicals?		
	Consent and Confidentiality of information		

B8	Do the research activities include individuals only after securing participant free and informed consent? And that the participant have the right to withdraw from participation in the research at any time without facing any negative consequences?		
B9	Does the research guarantee that all information provided by the participants on their private lives and personal information are treated confidentially?		
B10	Does the research guarantee that identifiable personal data collected in this research purpose cannot be automatically used for other research, administrative or commercial purpose? Consent of the participant must be obtained before using the data for any other purpose.		
B11	Does the researcher commit store the personal identifiable data responsibly and those data must not be stored any longer than what is needed to attain the objective of the study?		
	Financial Implications:		
B12	Is the source of fund declared? Source of Fund:		
B13	Will the participants be paid for participating in this research? Reason for payments: Compensation for their time of interview		

STATEMENT OF RESEARCH ETHICAL APPROVAL

- 1 This project has been considered and has been **Approved/Not Approved** by the Research and Publication Committee, Department/Unit

Signature:..... Name: Date:.....
(Chairperson, Research & Publication Committee)

- 2 This project has been considered and has been **Approved/Not Approved** by the College/Directorate/ Centre Research and Publication Committee on behalf of REC.....

Signature:..... Name: Date:.....
(Chairperson, Research and Publication Committee)

- 3 This **Approved/Not Approved** research proposal is **NOTED** by the Research Ethics Committee, Sokoine University of Agriculture

Signature:..... Name: Date:.....
(Chairperson, Research Ethics Committee)



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Morogoro, Tanzania,
Website: www.sua.ac.tz