

# Generic Manual for the Management of Research Grants

Developed by  
**The Southern African Research  
and Innovation Management  
Association**

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# Terms

**CoI:** Conflict of Interest

**co-PI:** co-Investigator

**CV:** Curriculum Vitae

**DMP:** Data Management Plan

**FEC:** Full Economic Costs

**Legislation:** Law established through an act of parliament. It can have many purposes, such as to regulate, authorise, provide funds and declare or restrict. Legislation is the legal framework upon which policies are based.

**LOA:** Letter Of Award

**M&E:** Monitoring And Evaluation

**MEL:** Monitoring, Evaluation And Learning

**ORCID:** Non-proprietary alphanumeric code to uniquely identify scientific and other academic authors and contributors.

**PC:** Programme Coordinator

**PI:** Principal Investigator

**PoE:** Panel of Experts

**Policy:** A set of ideas or plans, often based on legislation. An organisation's policy sets out important principles that relate to the operations of the organisation. It also serves as a basis for standards and training.

**PPP:** Public-Private Partnership

**Procedure:** Step-by-step guidance on what to do in certain situations. Organisational policies and procedures assist an organisation in its decision-making processes and the management of risk. They are critical enablers of an organisation's vision. An SGC's policies and procedures must be written clearly, concisely and informatively to enable all stakeholders to make informed decisions that are in line with the SGC's mission and values.

**R&D:** Research And Development

**R&I:** Research And Innovation

**SGC:** science granting council

**S&T:** Science And Technology

**STI:** Science, Technology And Innovation

**STISA:** Science, Technology and Innovation Strategy for Africa

**ToR:** Terms of Reference

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## SECTION 1

# Overview of Science Granting Councils

## 1.1 Introduction

SGCs have been referred to variously as funding agencies, research councils and other combinations of the words “research”, “science”, “funding”, “agency” and “council”. The common core definitional feature is that they are public or quasi-public organisations that grant state funding for science, including the social sciences and humanities. In this role, they sit in an intermediary space between the state and the research community, defining and executing a significant part of the state’s science policy (Chataway, Dobson, Daniels, Byrne, Hanlin, & Tigabu, 2019). An SGC may take on a range of additional functions such as advocacy and communication roles or information gathering, analysis and dissemination, but if it is not actively making grants for research then it does not count as an SGC.

SGCs typically operate in 12 identified areas. The first three can be regarded as different forms of science funding support and therefore speak to the core mission of a funding agency.

1. Disbursement of research grants (various categories)
2. Disbursements of scholarships and loans (mostly master’s and doctoral students)
3. Funding support for infrastructure development
4. Valorisation of results (dissemination and uptake of research reports and findings)
5. Supporting scientific publishing or scientific journals
6. Advocacy for science, technology and innovation (STI)
7. Collection of data and statistics on science and technology (S&T) and on research and development (R&D)
8. Capacity building and training of researchers
9. Policy advice
10. Setting research agendas and research priorities
11. Management of scientific collaborations and agreements
12. Coordination of the national innovation system

Running research competitions is one of the key functions of an SGC. Research competitions encompass a wide range of activities, from designing the call to peer review and award, and to monitoring, evaluation and learning. This manual will provide a basic set of principles, processes and applicable rules in line with commonly accepted international standards to ensure that research competitions are of high quality. SGCs are encouraged to adopt the guideline and use the relevant processes to improve the efficiency, quality and impact of their research competitions.

## 1.2 Guide content

Running research competitions is one of the key functions of an SGC. This encompasses a wide range of activities from designing the call to peer-review and award to monitoring, evaluation and learning. A good practice guideline has been developed as part of Theme 1 of the SGCI to offer guidance on the criteria that to be used to ensure that research competitions are of high quality (Jackson-Malete, Dyason & Mpye, 2017). Several recurring conceptual elements and specific criteria used in assessing the quality of a research competition identified by Jackson-Malete et al. (2017) and additional elements were used to clarify the research grant management and funding cycle and its corresponding processes.

The conceptual elements (Figure 1) include:

- a) Institutional arrangements: legislative mandate, policies and priorities, stakeholder engagement
- b) Developing research programmes
- c) Call announcement, which includes all the pre-call activities until the call has closed
- d) Reviews and assessment, including the call closing, internal screening, reviewer identification, panels and funding decisions
- e) Awarding of the grant, including the dispatch of the award letters, signing of the research contracts and disbursement of the funding to the successful applicant
- f) Monitoring, evaluation and learning, which comprise the annual performance reports, implementation plans and technical visits, and end where the whole process is reviewed
- g) Financial and risk management

For each section, the manual identifies key practices and provides examples and templates to implement each key practice.

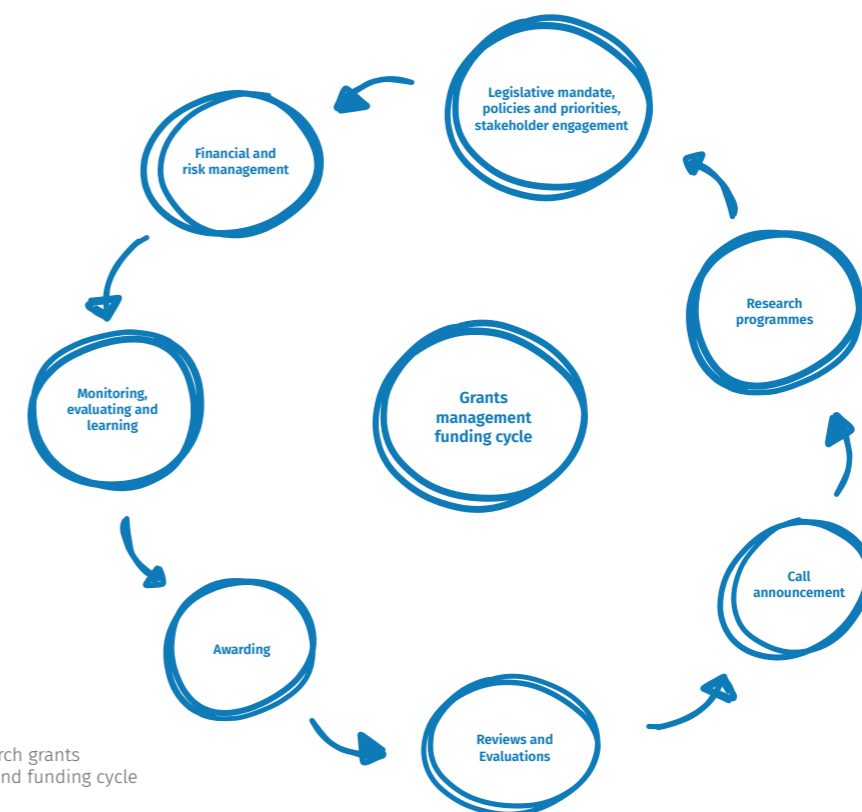
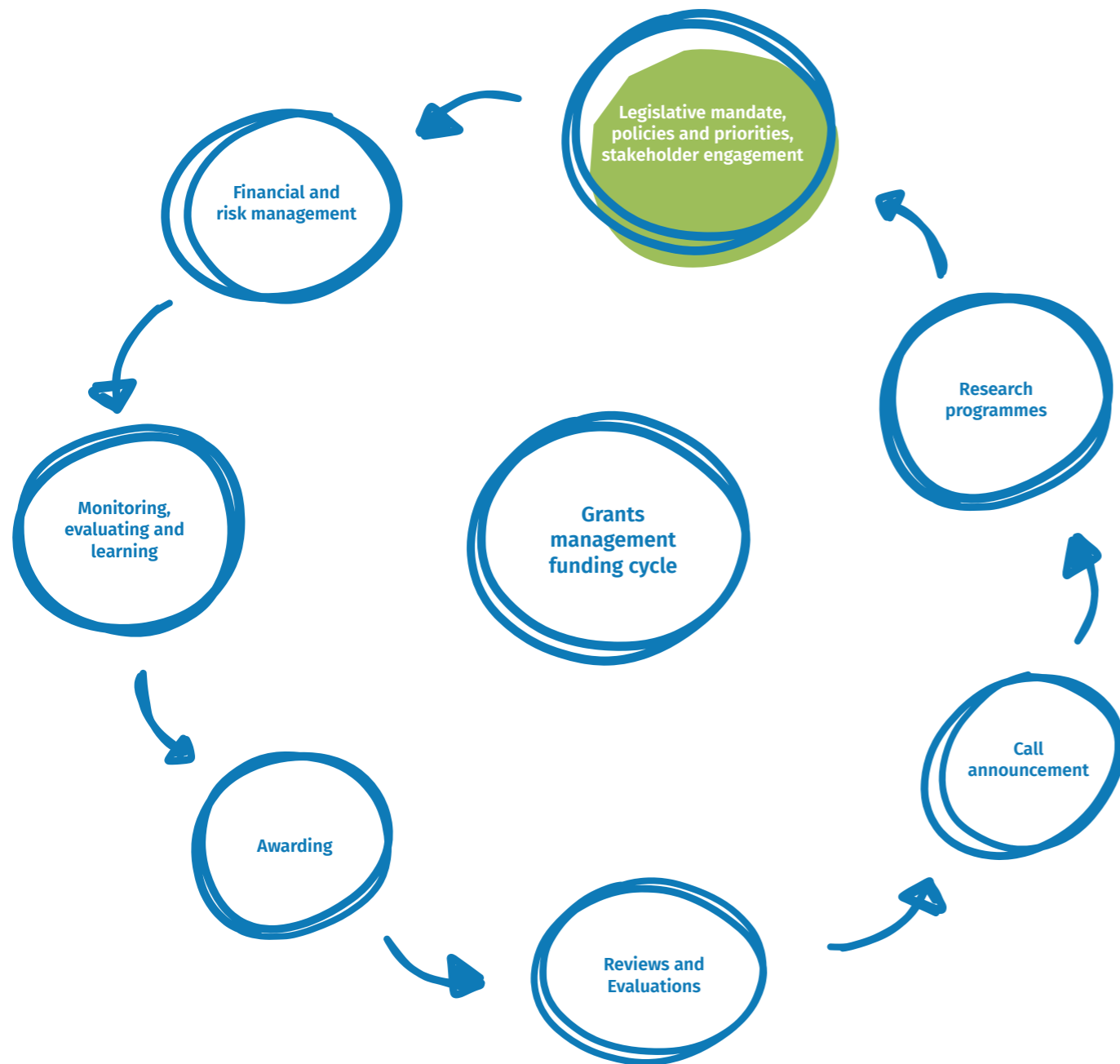


Figure 1. Research grants management and funding cycle



## SECTION 2

# Legislative Mandate, Policies and Priorities, Stakeholder Engagement



## 2.1 Institutional arrangements

“Institutional arrangements” refers to the policies, rules, laws, regulations, procedures, frameworks, processes, habits and practices that facilitate and underpin the implementation of the research programmes and mechanisms.

### 2.1.1 Strategic research priority setting

The organisational strategic goals for research and the activities designed to achieve those goals give effect to the research mission statement and the concomitant core value. The proposed strategy may be informed by a range of imperatives, both external and internal to the SGC. National imperatives such as national research priority areas, national development plans, institutional strategic plans, STISA 2024, Agenda 20163 and the United Nations Sustainable Development Goals can be considered when determining research priorities.

Research priority setting operates on two levels, namely broad macro-level priorities and operational, priority-driven funding schemes.

**Macro-level priorities** highlight the direction in which the funder aims to orient the research field and the kinds of science that best serve the organisation’s mission and/or country’s R&D needs. Within these programmes, there are different modalities of funding, mixing both investigator-initiated research and a small amount of strategic funding. In addition, there are organisation-wide priority thematic areas and an overarching action framework.

**Operational-level priorities.** Operational-level priority-driven research programme employ priority setting mechanisms to drive decision-making processes. These are:

- Idea generation: Researchers are involved in the process of generating ideas for future research priorities. The mechanisms for their participation can be membership on advisory committees or boards, invitations to targeted events and the convening of stakeholder events for local and national policy-makers, as well as scoping reviews, portfolio analyses and other similar desk-based processes.
- Idea analysis: Potential priorities are scoped through a variety of methods that can include portfolio analysis and review of government reports, guidance and the scientific literature. Analyses are mainly performed internally.
- Idea socialisation: Potential priorities are discussed to a greater or lesser extent with stakeholders before they are officially selected. Feedback is provided on an initial draft request for proposals and then partners are asked if they are willing to fund the idea. Research funders have to ensure that the idea meets a need in the funding landscape and that it is complementary to the approaches and priorities of other funding organisations.

- Idea selection: A working committee makes a first-round selection before the senior executives team makes an assessment and selects those to be recommended to the CEO, with a recommended amount of funding. An expert group then drafts the specific text, including its scope and modalities. The CEO formalises the recommendation through a decision. The programme team makes the final decision on topics for commissioned research.

Due to their strategic position within national science systems, SGCs typically advise governments on national research priorities and new initiatives. This advice is often grounded in research initiatives funded and input from peer review processes, as well as extensive assessments of scientific fields and disciplines. An SGC will often identify and determine national R&D priorities through the commissioning of various studies that review its funding instruments/schemes, as well as the evaluating of specific priority fields (such as mathematics and physics).

Template 1.

## Strategic goals/priorities

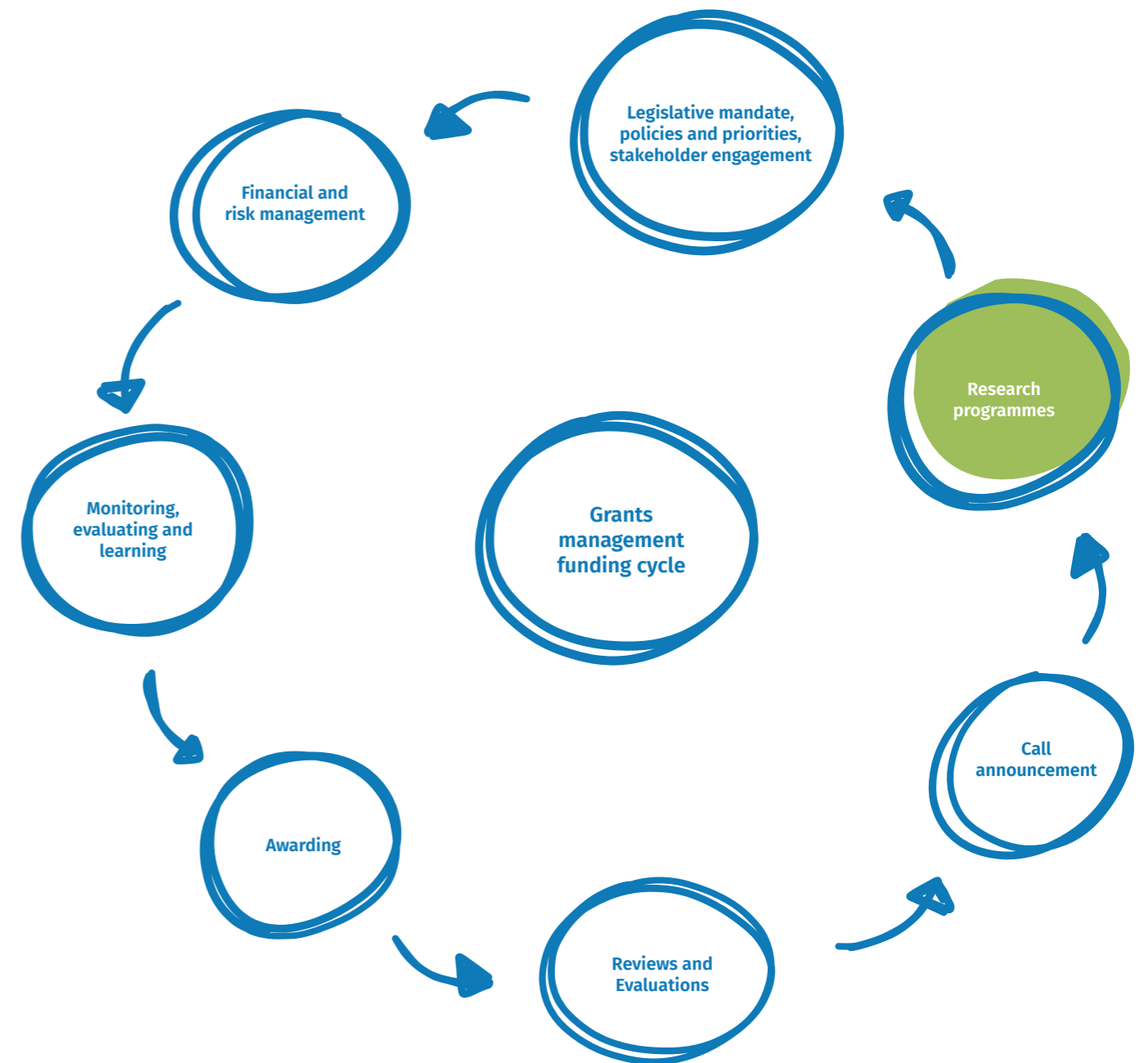
**The strategic objectives of the National Fund for Advancement of Science and Technology, managed and administered by the Tanzania Commission for Science and Technology (COSTECH), are as follows:**

- Support research with special emphasis on the national priority areas.
- Support development and transfer of appropriate technologies.
- Support capacity building in R&D and STI activities in terms of research, human resources and facilities.
- Support organisation of or attendance at scientific fora and information dissemination and communication
- Promote innovativeness and inventiveness through the provision of awards.
- Commission individuals, groups of individuals, institutions and groups of institutions to undertake research or studies in special areas identified by the commission to be of national interest
- Support innovation-related activities such as in micro, small and medium-size companies, in hubs, labs and co-creation networks
- Support the integration of research and innovation processes, user-centred and open innovations, co-creation and particularly design.
- Support the impact the council would like to have with its grant-making and allocating its resources to achieve its own goals or national, regional or continental goals.

Source: Tanzania Commission for Science and Technology (2018)

## SECTION 3

# Developing Research Programmes



### 3.1 Developing research programmes

In the early stages of the research grant management funding cycle, the SGC plans and develops funding programmes based on its mission, strategic objectives and research priorities, and on government initiatives. Mouton, Gaillard and Van Lill (2013) point out that SGCs typically operate in 12 functional areas, of which three can be regarded as different forms of science funding support and therefore speak to the core mission of a funding agency:

- (1) Disbursement of research grants (various categories)
- (2) Disbursement of scholarships and loans (mostly master's and doctoral students)
- (3) Funding support for infrastructure development

#### 3.1.1 Disbursement of research grants (various categories)

Most councils function as research granting agencies, i.e. inviting applications, managing a peer-review process and then subsequently awarding funds based on merit and other relevant criteria including available budget. However, in many countries research is commissioned rather than supported through research grants. Research conducted by inter-institutional and multidisciplinary teams and including short-term training is particularly encouraged. Each research team must have at least three partners with the possibility of an associate at regional or international research organisations operating in the national territory (Mouton, Gaillard & Van Lill, 2013).

Grants are non-repayable funds disbursed by one party (grantor), often a government department, corporation, foundation or trust, to a recipient, often (but not always) a nonprofit entity, educational institution, business or individual.

Commissioned research is research requested by an external party in exchange for payment.

Although various categories of research grants exist as illustrated in figure 2, the manual will focus on the following:

- Research support
- Innovation support
- Knowledge interchange and collaboration
- Scholarships & Fellowships
- Infrastructure grants

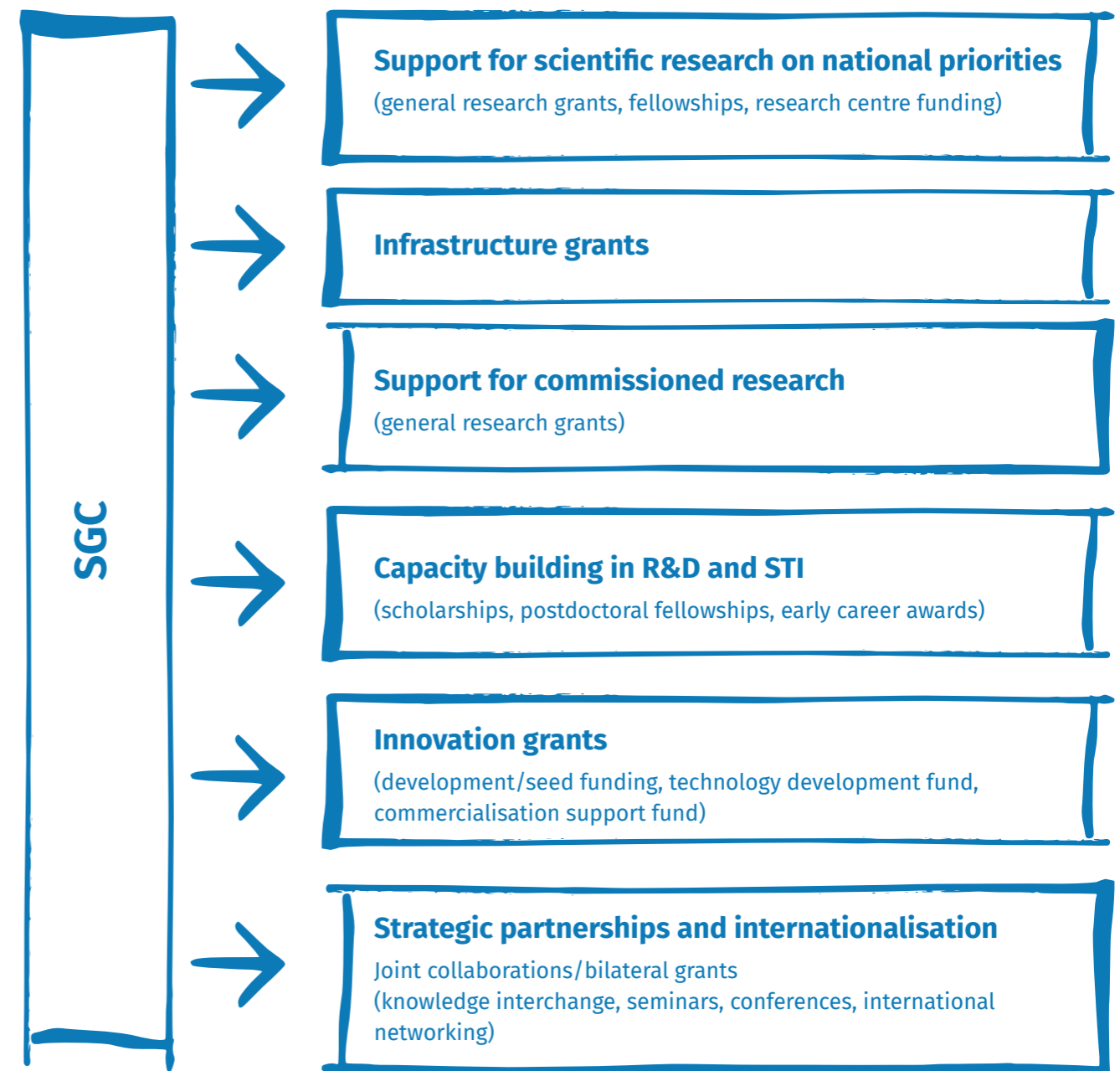


Figure 2. Research grants

### 3.1.2 Research support

Research support grants are made available to help fund research efforts made by individuals, universities, and other groups. Research can encompass many subjects, such as literature, medicine, and the environment. The grants can vary greatly in the amount they offer, from small grant awards, to full, multi-year fellowships.



### 3.1.3 Innovation support

An innovation support grant is designed to enable industry to access (from research institutions) specific responses to technological needs and to produce a flow of highly skilled researchers and technology managers who understand research, technology development and the diffusion of technology from the viewpoints of both industry and academia. A selected project must:

- Be a high-quality science, engineering and/or technology research project
- Produce an innovative (able to be commercialised) product/process/prototype
- Indicate implementable outcomes that will benefit the industry partner
- Train students at postgraduate level
- Involve technology transfer
- Have at least one industry partner who is also co-funding the project
- Be based at a university or science, engineering and technology institution

### 3.1.4 Knowledge interchange and collaboration

These grants support international research collaboration between two or more qualified scholars from at least two countries, where the principal investigator brings different and complementary perspectives, knowledge and/or skills to the project. In addition, an applicant for an international research grant must be engaged in research with a collaborator in a country that is a signatory to a binational or bilateral agreement between the SGC and a funding agency in that country. Such grants may assume the form of travel grants, conference attendance and short and long research visits spanning a period of two weeks to 12 months.

### 3.1.5 Disbursements of scholarships and loans (mostly master's and doctoral students)

SGCs provide academic scholarships and loans to undertake master's and doctoral degrees. Students compete individually and are awarded scholarships or loans on merit.

### 3.1.6 Infrastructure grants

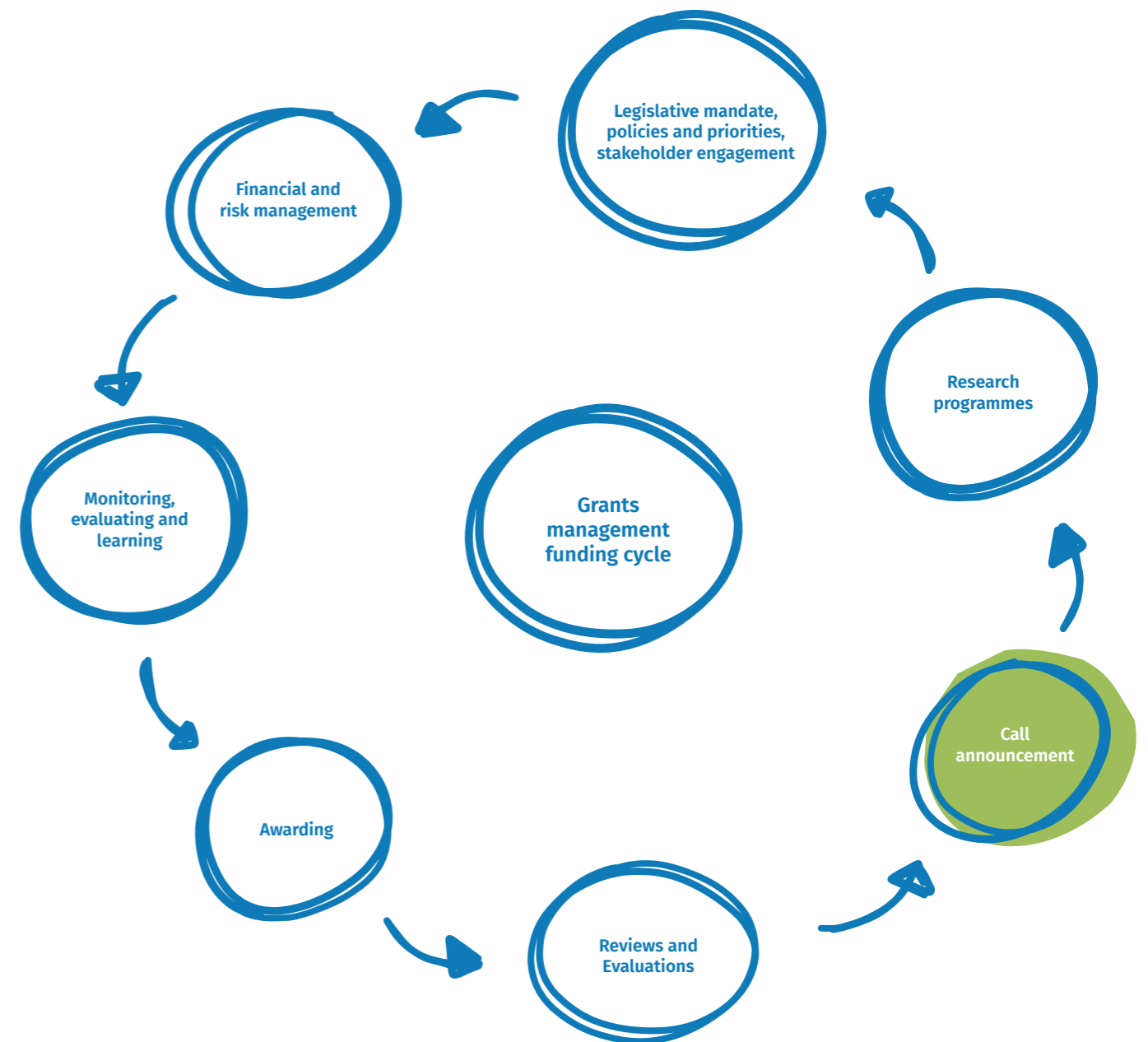
The purpose of these grants is to support the acquisition, maintenance and development of state-of-the-art research equipment. The grants is intended for researchers from higher education institutions, national research institutions such as museums and science councils, and other government-funded laboratories, including research hospitals.

## SECTION 4

# Call Announcement

The SGC formally announces the funding opportunity/scheme by advertising it to applicant communities and inviting proposals tailored to address the programme mission. The SGC will publish details of the funding opportunity on appropriate platforms to ensure a wide reach.

The call announcement guidelines/framework (Template 2) should contain a full set of information and documents that are useful for preparing a proposal, including the contact person's details as well as the closing date for the completion and submission of all applications to the SGCs.



Template 2.

## Call announcement guidelines/framework

The call announcement guidelines should clearly state the focus and scope, budget, expected outcomes and purpose of the research programme. They should also:

- Include application information that requires applicants to think about cross-cutting considerations such as the impact (scientific, social, environmental and on human capital development) of the research and its potential for promoting equity, intellectual property and commercialisation
- Set out clear budget guidelines that specify permissible and non-permissible expenditure
- Stipulate the duration of funding
- Contain no ambiguous terminology (such as the the word “other”) when providing budget guidelines
- Provide clear application timelines
- Uphold consistency, fairness and transparency with regard to the call deadlines
- Include instructions regarding the application and submission process
- Specify which additional/supporting documents are required
- Offer guidance on ethical clearance (where relevant)
- Explain data management requirements (if applicable)
- Provide application templates or guidance on how to structure the proposal

### 4.1 Eligibility criteria

Eligibility criteria may vary by SGC and type of funding scheme. While discipline is a key eligibility criterion specified for the overwhelming majority of funding schemes, other widely used requirements relate to tenure; the permanent, contracted or fixed-term position of the applicant; and the profile and roles of the researcher/ applicant.

#### 4.1.1 Eligible applicants

- Researchers who are employed and remunerated on a full-time permanent or full-time contract basis at institutions supported by the SGC
- Persons who conduct research and are formally affiliated to institutions supported by the SGC (e.g. visiting professors)
- Retired academics/researchers who are

- Resident in the country
- Formally affiliated (e.g. emeritus professors, honorary research associates/professors, supernumerary/contract employees) to a research institution and whose applications are formally supported and endorsed by the institution to which they are affiliated, or anticipate being affiliated
- Active researchers with a distinguished track record of research and postgraduate student supervision
- Still actively mentoring/training postgraduate students or young research staff

#### 4.1.2 Institutions eligible for support

- Institutions supported by SGCs
- Institutions conducting basic or applied research of a pre-competitive nature for the benefit of the long-term knowledge base
- Institutions committed to human resource capacity development

### 4.2 Rules of participation

**Principal investigator (PI):** The principal investigator (i.e. the applicant) must be an active researcher who takes intellectual responsibility for the project, its conception, any strategic decisions required in its pursuit and the communication of results. The PI must have the capacity to make a serious commitment to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. The PI will take responsibility for the management and administration of resources allocated to the grant award, and for meeting reporting requirements.

The research team may also include:

**Co-investigator (co-PI):** The co-PI is an active researcher who provides significant commitment, intellectual input and relevant expertise in the design and implementation of the research application. The co-PI/partner PI will be involved in all or at least some well-defined research activities within the scope of the application.

**Collaborator:** A collaborator is a research scientist or engineer from any sector, e.g. a government scientist, academic researcher or company staff member, who is formally associated with a research team applying for a team grant, but will not have access to grant funds. A collaborator must be qualified to undertake research independently and will be expected to contribute to the overall intellectual direction of the research project, or programme of research, and bring his/her own resources to the collaboration.

**Participant/research associate or consultant:** Faculty or professional/technical staff involved in the project as participants must be qualified to undertake research independently and will be expected to contribute to the overall intellectual direction of the research project or programme of research.

<p><b>Principle Investigator:</b> Responsible for entire research project/programme including all compliance requirements, reporting, hiring, staff management and training of junior researchers, budget management, costs, and outcomes.</p>			
Runs the research project or programme in its entirety	<p><b>Co-Investigator:</b> Contributes own work and research to the project and to overall research development long-term.</p>		
	Develops research ideas or methods	<p><b>Researcher:</b> (Associate or Consultant) research staff that supports project research completion</p>	
Faculty (senior, mid, or junior depending on grant opp)	Faculty or advanced postdoc	Supports the completion of other's research	Postdoc (or advanced graduate training)

Figure 3. Research team members  
Source: Beyond the book (n.d.)

### 4.3 Resources

Research proposals will be assessed on the quality of the research and value for money in terms of the resources requested, including whether or not the funds requested are essential and adequate for the work and justified by the importance and scientific potential of the research. Costs sought should be specified as far as possible in the research proposal. As a general principle, any cost or activity that can be directly attributed to the research project that is being undertaken is considered to be an allowable cost, as long as it is fully justified. Information on the justification of resources has to be included in the application form. All grants and fellowships should be costed on the basis of the full economic costs (FEC) necessary to deliver the project.

**Co-funding:** If a research programme and its subsequent research contract require a co-funding percentage, then the applicant needs to ensure that the funding is available. The agreed co-funding percentage will be taken into consideration when assessing the FEC necessary to deliver the project.

Fund type	Fund headings	Examples
<p><b>Direct costs:</b></p> <p>Costs that are explicitly identifiable as arising from the conduct of a project</p> <p>Costs charged to projects as the cash value actually spent and supported by an auditable record</p>	<p>Staff travel &amp; subsistence Equipment Other costs</p>	<ul style="list-style-type: none"> <li>Salary of any member of the research team (e.g. PI, co-PI, postdocs, technicians, statisticians, technologists, methodologists working on this project for a percentage of their time) must be supported by a full audit trail.</li> <li>Consumables (including small items of equipment (SGC to determine value))</li> <li>Consultancy fees</li> <li>Subcontractor costs</li> <li>Recruitment costs</li> <li>Equipment specific to the project (SGC to determine value)</li> <li>Patent costs and other Intellectual Property (IP) costs (if not provided by the supported institution)</li> <li>Sabbaticals</li> <li>Science engagement events</li> </ul>
<p><b>Indirect costs</b></p> <p>University/supported institution overhead costs</p>	<p>Indirect costs</p>	<p>Costs of the university/supported institution administration such as staff, finance, library and some departmental services (set rate usually between 10% and 25%)</p>
<p><b>Costs that are NOT eligible include</b></p> <ul style="list-style-type: none"> <li>Publication costs (open access publishing)</li> <li>Computers, which can be requested, though a university is expected to provide computers and laptops for research staff on continuing contracts (including PIs and co-PIs)</li> </ul>		
<p><b>Contributions in kind</b></p> <p>The value of non-cash contributions provided by the supported institution or third parties to a grant-funded project when such contributions directly benefit that project. Such contributions generally may be counted as cost sharing. Contributions in kind are not considered actual expenditure and are not eligible costs for reimbursement.</p>		

Table 1. Fund type

Source: UKRI Medical Research Council (2020)

## 4.4 Ethical requirements

It is the responsibility of the PI, in conjunction with the supported institution, to ensure that all research activities carried out comply with the laws and regulations of the country in which the research activities are conducted. These include all human and animal subjects, copyright and intellectual property protection, and other regulations or laws, as appropriate. A research ethics committee must review and approve the ethical and academic rigour of all research prior to the commencement of the research and acceptance of the grant. The awarded amount is paid once a copy of the required ethical clearance certificate is attached to the research contract.

## 4.5 Data management plan

A data management plan (DMP) is a formal process that describes the data you expect to acquire or generate during the course of a research project, how you will manage, describe, analyse and store the data, and what mechanisms (including digital data storage) you will use at the end of your project to share and preserve the data.

## 4.6 Application forms

The SGCs may vary in the information they require in each funding application. Five application templates are presented below:

- a) General research grants
- b) Research grants: research teams / research centre grants
- c) Infrastructure grants
- d) Innovation support grants
- e) Knowledge interchange grants (seminars, bilaterals)

### 4.6.1 General research support grants

Calls for general research grants can be in the form of grant funding or commissioned research. The general research support grants application form is used for fellowship, early career and scholarship applications. SGCs should determine which sections to include or omit. The application consists of (a) a CV section and (b) project information sections, including a financial section.

#### (a) Curriculum vitae (CV) section

It is suggested that the curriculum vitae (CV) of the PI should form part of all research funding schemes and instruments. This consists of basic information such as names, addresses, contact details, present occupation, present employer and educational background. When research teams and collaborators are involved, they may upload their CVs as attachments.

## Template 3. CV Section

CV Section	Sections
	Contact details Career profile Qualifications Research expertise Personal profile Student supervision and graduations Absence from research Disability ORCID (nonproprietary alphanumeric code to uniquely identify scientific and other academic authors and contributors.) Books Chapters in books Articles in refereed/peer-reviewed journals Refereed/peer-reviewed conference outputs Patents Keynote/plenary addresses Articles in non-refereed/non-peer-reviewed journals Conference proceedings Technical/policy reports Products Artefacts Prototypes Research consultancy

Source: NRF (2020)

#### (b) Project information sections

Project information is an integral part of the application form. Template 4 indicates the various sections that can be included under project information. The relevant sections should be informed by the SGC's strategic intent, the funding instrument requirements, monitoring, evaluation and learning, and reporting requirements. The details are set out in the application form with the aim of guiding the applicant as to what is expected of the application.

## Project information template

Project Information	Section	Details
	Title	This must be short and precise, conveying the general objectives of the proposed research.
	Abstract	<p>An abstract summarises the major aspects of the proposal as a whole in a prescribed sequence that includes:</p> <ul style="list-style-type: none"> <li>• Need: What is the purpose of your project?</li> <li>• Target population: Whom will you serve?</li> <li>• Project overview: What will you do, and how? What are your project's goals and objectives?</li> <li>• Outcomes: What do you expect to achieve? How will you measure success?</li> </ul>
	Goals/Specific Aims	State the strategic goal(s) to which the solution of the stated research problem(s) will contribute.
	Research Objectives	Must be SMART – specific, measurable, achievable, relevant and time-bound – to facilitate monitoring of the project. The specific objectives form a guide to the research methodology, data analysis and presentation of results.
	Background/ Significance/ Importance	<ul style="list-style-type: none"> <li>• Give the background to the proposed research.</li> <li>• Define the problem this proposal seeks to address.</li> <li>• Give an updated summary of scholarly knowledge in the field of the proposal.</li> </ul>
	Literature review/ theory	<ul style="list-style-type: none"> <li>• Present important background information about the proposal.</li> <li>• Critically evaluate and synthesise existing knowledge. Indicate how you will address the gaps in existing body of knowledge (innovations).</li> <li>• Provide the basis of support for the hypothesis or research question.</li> <li>• Use recent and up-to-date literature.</li> </ul>

Methodology/ research plan including ethics	<ul style="list-style-type: none"> <li>• This should be very detailed as it is your guide to how the study will be carried out as well as the data analysis.</li> <li>• Describe the research study/design.</li> <li>• Justify the choice of study area and study population, sampling procedures, methods/techniques of data collection, facilities and major items of the equipment to be used.</li> <li>• Ethical considerations</li> </ul>
Research impact	<p>Describe:</p> <ul style="list-style-type: none"> <li>• Who will benefit from this research.</li> <li>• How they will benefit from this research.</li> </ul>
Data management plan	<ul style="list-style-type: none"> <li>• Provide a detailed description of how the collected data will be managed, analysed and stored.</li> <li>• Mention the statistical package (where applicable) to be used in data entry and analysis.</li> </ul>
Dissemination plan	<ul style="list-style-type: none"> <li>• A dissemination plan should identify at least one potential audience and describe the planned activity to disseminate research findings to the audience.</li> <li>• When appropriate, the plan should also describe any proposed collaborations/exchanges and intended implementation plans.</li> </ul>
Investigate team credentials/ qualifications/ research history	<ul style="list-style-type: none"> <li>• Describe your research knowledge and experience.</li> <li>• Describe the capacity building envisaged, both long term, such as training or mentorship, and short term, such as transfer of skills to local staff in managing equipment or conducting procedures.</li> </ul>

Source: COSTECH (2018)



Project Information	Section	Details																					
		<ul style="list-style-type: none"> <li>• Equipment – purchase or hire, fees, costs</li> <li>• Computing – charges for access time, purchase of PC/software</li> <li>• Communication – telephone/fax</li> <li>• Salaries and wages: researcher, research assistant, secretarial services, consultants, data entry &amp; analysis</li> <li>• Stationery: paper or consumable products, printing and photocopying costs, postage</li> <li>• Travel: fuel (local travel), air tickets, ground transport (international travel)</li> <li>• Overheads: 10–20% is usually charged by the recipient institution for accommodating the grant</li> <li>• Audit fee: may be required if the institution requires accounts to be audited</li> </ul>																					
	Budget/budget justification	<table border="1"> <thead> <tr> <th>Budget items</th> <th>Cost</th> <th>Justification</th> </tr> </thead> <tbody> <tr> <td>Direct cost</td> <td></td> <td></td> </tr> <tr> <td>Salaries and wages or Full Time Equivalent (FTE)</td> <td></td> <td></td> </tr> <tr> <td>Travel and subsistence</td> <td></td> <td></td> </tr> <tr> <td>Equipment</td> <td></td> <td></td> </tr> <tr> <td>Indirect costs: administrative (overhead, variable cost)</td> <td></td> <td></td> </tr> <tr> <td>Total requested</td> <td></td> <td></td> </tr> </tbody> </table>	Budget items	Cost	Justification	Direct cost			Salaries and wages or Full Time Equivalent (FTE)			Travel and subsistence			Equipment			Indirect costs: administrative (overhead, variable cost)			Total requested		
Budget items	Cost	Justification																					
Direct cost																							
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Travel and subsistence																							
Equipment																							
Indirect costs: administrative (overhead, variable cost)																							
Total requested																							
	References	List all references																					
	Appendices materials	<ul style="list-style-type: none"> <li>• Letter of support (departmental head, pro-vice-chancellor, vice chancellor, director of research)</li> <li>• Commitment letters (if financial or in-kind commitment is required)</li> </ul>																					

Source: COSTECH (2018)

#### 4.6.2 Research support grants: Research team, research centre and consortium grants

The application template for this type of grant will contain (a) a CV section, (b) project information and (c) a management plan.

##### (c) Management plan (to be included in research team, research centre and consortium grants)

The elements that should be included in a management plan are:

- An outline of the project's objectives and goals
- A list of actions to achieve the goals and objectives
- Descriptions of the roles and time commitments of personnel and participants involved in the project, as well as how these roles might change throughout the project
- Procedures to recruit and train participants, if applicable
- Procedures to acquire and maintain equipment
- A timeline for the various stages of the project
- Consideration of the project's broader impacts

Template 5.

## Management plan

Management plan	Section	Details
	Roles and responsibilities of personnel	Descriptions of the roles of personnel and participants are crucial to understanding how a project will proceed. This component of the management plan should include the time commitments required, such as daily or weekly, once a month or only for occasional meetings. It should also include the potential evolution of each role throughout the project's proposed time frame. Where possible, name specific personnel.
	Student participation	If a project requires student participants, it may be beneficial to detail the procedures for participant selection, retention and evaluation. The management plan should outline a process to choose students and the personnel involved in this process, as well as intentions for recruiting from underrepresented groups. Ensuring retention after selection remains an important consideration in projects that rely on student participation. Methods of participant retention include mentoring, peer counselling and ongoing assessment.
	Collaborations	The management plan should describe any planned collaborations with other departments, institutions or businesses. If collaboration involves an existing relationship, the plan should include an explanation of the relationship and how it might be expanded.
	Acquisition and maintenance of equipment	<p>Thorough procedures to acquire and maintain the necessary equipment and instrumentation should seek to answer the following questions:</p> <ul style="list-style-type: none"> <li>• How will equipment and other instruments be acquired?</li> <li>• Who will oversee their acquisition and maintenance?</li> <li>• If lab equipment can only be used by qualified personnel, what mechanisms will be in place to train those people?</li> <li>• Who else has access to the equipment?</li> <li>• What steps will be taken to advertise the availability of equipment?</li> <li>• Where will equipment be housed?</li> </ul>
	Project timeline	A timeline can provide a sense of the proposed length of the stages of a project. At each stage, you may further delineate intermediate objectives, how often committees will meet, when evaluations will be conducted and when outcomes are anticipated.
	How do funding sources assess a management plan?	<ul style="list-style-type: none"> <li>• Do proposed actions meet the stated goals of the project effectively?</li> <li>• Do the results have the potential to serve as a model for further research?</li> <li>• Do the results benefit a large number of people or organisations?</li> </ul>

Source: Brown University (n.d.)

### 4.6.3 Infrastructure grants

The application template for this type of grant will contain (a) a CV section, (b) project information, (c) an infrastructure management plan and (d) an operating cost budget, which should replace the project budget. According to Ramoutar-Prieschl and Hachigonta (2020) the critical aspects of a robust management plan includes the: (i) physical infrastructure; (ii) services and utilities; (iii) safety and security; (iv) insurance arrangements; (v) alternate power supply; (vi) maintenance; (vii) access and training; (viii) having appropriately skilled instrument staff in place, and (ix) a clear data management plan.

Template 6.

## Infrastructure management plan

Infrastructure Management plan	Section	Details
	Brief description	Briefly describe the equipment, including a list of all major components.
	Purpose	Provide a brief overview of what the equipment will be used for.
	Required services and utilities	Outline what services and utilities are required to operate the equipment (e.g. compressed air, mains electricity).
	Required building infrastructure to house equipment	Outline what infrastructure is required to appropriately house the equipment (e.g. reinforced floor, laboratory/ building refurbishment).
	Safety and security	<ul style="list-style-type: none"> <li>• Briefly describe the steps you will take to ensure operator safety.</li> <li>• Describe the security systems deemed necessary to protect the equipment from deliberate or accidental damage, etc.</li> <li>• Provide the name and qualifications of the safety officer.</li> <li>• Outline the plans for training on safety for managing this instrument.</li> </ul>

Infrastructure Management plan	Section	Details
	Insurance arrangements	Describe the insurance arrangements you have at your institution or that you will have with the chosen manufacturer/supplier.
	Responsibility for operation	<ul style="list-style-type: none"> <li>Who will be allowed to operate the equipment? List names or describe types of people, e.g. senior researchers or postgraduate students and their level of study.</li> <li>Submit the name and qualifications of the main operator (i.e. attach their CV).</li> <li>Outline the plans for training to be received in operating the equipment.</li> </ul>
	Training and accessibility	<ul style="list-style-type: none"> <li>What training will you offer to users at your own institution and nationally?</li> <li>Detail the proposed technician training and training of technical staff by the supplier.</li> <li>Proposed training workshops for students and staff.</li> <li>Detail how access will be facilitated to the research equipment or plans that will be implemented for equipment to be used by staff, students and users from other institutions.</li> </ul>
	Responsibility for maintenance	Who will be responsible for the maintenance of the equipment? Submit the name, qualifications and training of the person responsible for the maintenance of the equipment (i.e. attach their CV). (If this is to be outsourced, a person from the host institution must be responsible for ensuring that this work is undertaken on time.)
	Preventative maintenance schedule	Provide a detailed maintenance schedule. (This is normally provided by the supplier.) In the case of developed equipment, give details of the plan to maintain this new equipment.
	Succession planning	Who will be responsible for the equipment in the event that you leave the institution?
	Log Book	Make provision for an instrument log book. All usage maintenance service and repairs are to be recorded in the log book (preferably electronically).
	Charge-out rates	Provide the charge-out rates for (a) non-commercial users and (b) commercial users. Please note that this must be the same as the charge-out rates specified on the national equipment database questionnaire.

Source: NRF (2020)

Template 7.

## Infrastructure management plan operating cost budget

### Infrastructure operating cost budget

Category	Item (e.g.)	Cost per month	Notes
Salaries	Salaries		
	Mechanic		
	Technician		
<b>Subtotal</b>			
Maintenance / service contract	Service		(specify over what number of years, e.g. 3 years or more)
	Seals		
	Oil		
<b>Subtotal</b>			
Running costs	Liquid oxygen (lox)		
	Sample bottles		
<b>Subtotal</b>			
Depreciation	Item 1		Over 5 years
	Item 2		Over 3 years
<b>Subtotal</b>			
<b>Total</b>			

Source: NRF (2020)

## 4.6.5 Innovation support programmes

The innovation support programmes enable technology development to achieve social and economic returns, thus contributing to broader economic growth and to building and nurturing a culture of innovation by making institutions and industries innovation leaders rather than consumers of innovation. SGCs choose to fund innovation if it is aligned to their strategic and research priorities. The SGC innovation support grants have the overarching goal of funding innovative technology-based ideas for new or improved products, processes or services and funding inbound technologies that can be further improved, developed and exploited in collaboration with partners by removing early barriers to commercialisation for technologies emerging from universities (TIA, 2016).

There are three potential funding schemes aimed at directly financing technology development projects with commercial potential.

Fund	Purpose	Eligibility	Technology readiness	Qualifying criteria
Seed fund	To assist higher education institutions and small, micro and medium enterprises in bridging financing requirements to translate research outputs into fundable ideas for commercialisation. This may include undertaking feasibility studies or writing a business plan.	<ul style="list-style-type: none"> <li>Higher education institutions</li> <li>Science councils</li> <li>Small, micro and medium enterprises</li> <li>Start-up companies</li> </ul>	<ul style="list-style-type: none"> <li>Concept formulation</li> <li>Critical function or proof of concept established</li> <li>Validation in the laboratory environment</li> </ul>	All projects beyond basic research
Technology development fund	To support the development of technologies from proof of concept to product prototype and ultimately the demonstration thereof in an operating environment	<ul style="list-style-type: none"> <li>Higher education institutions</li> <li>Science councils</li> <li>Small, micro and medium enterprises</li> <li>Start-up companies</li> </ul>	<ul style="list-style-type: none"> <li>Validation in the laboratory environment</li> <li>Laboratory scale, validation in a relevant environment</li> <li>Integrated prototype system verified in an operational environment</li> <li>Integrated pilot system demonstrated in an operational environment</li> </ul>	Proof of concept established
Pre-commercialisation support fund	To prepare innovators for follow-on funding through support for market testing and validation	<ul style="list-style-type: none"> <li>Higher education institutions</li> <li>Science councils</li> <li>Small, micro and medium enterprises</li> <li>Start-up companies</li> </ul>	<ul style="list-style-type: none"> <li>System incorporated in commercial design</li> <li>System proven and ready for full commercial deployment</li> </ul>	Endeavour to have an offtake agreement or third-party follow-on funding commitment

Table 2. Type of funding schemes

Source: UCT Innovation Support (n.d.)

### 4.6.5.1 Funds usage

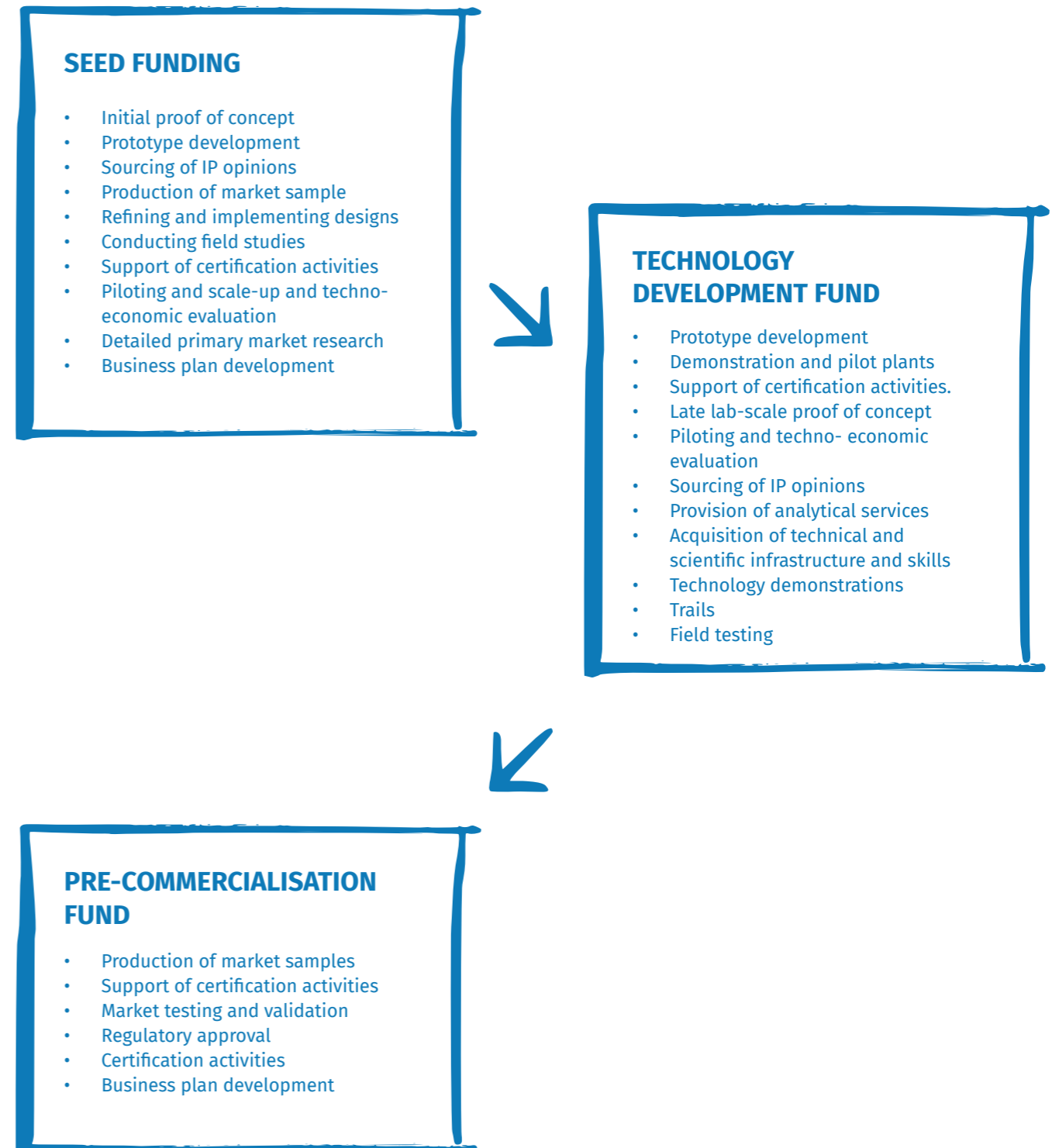


Figure 4. Fund usage

Source: UCT Innovation Support (n.d.)

#### 4.6.5.2 Application process

The innovation grants process follows a rigorous application management process. It aims to explore and develop the commercial potential of research and ideas helping to transform them into products and processes for the innovators' benefit, as well as for the benefit of society. Figure 5 represents the seed funding application management process.

##### (a) Seed funding application management

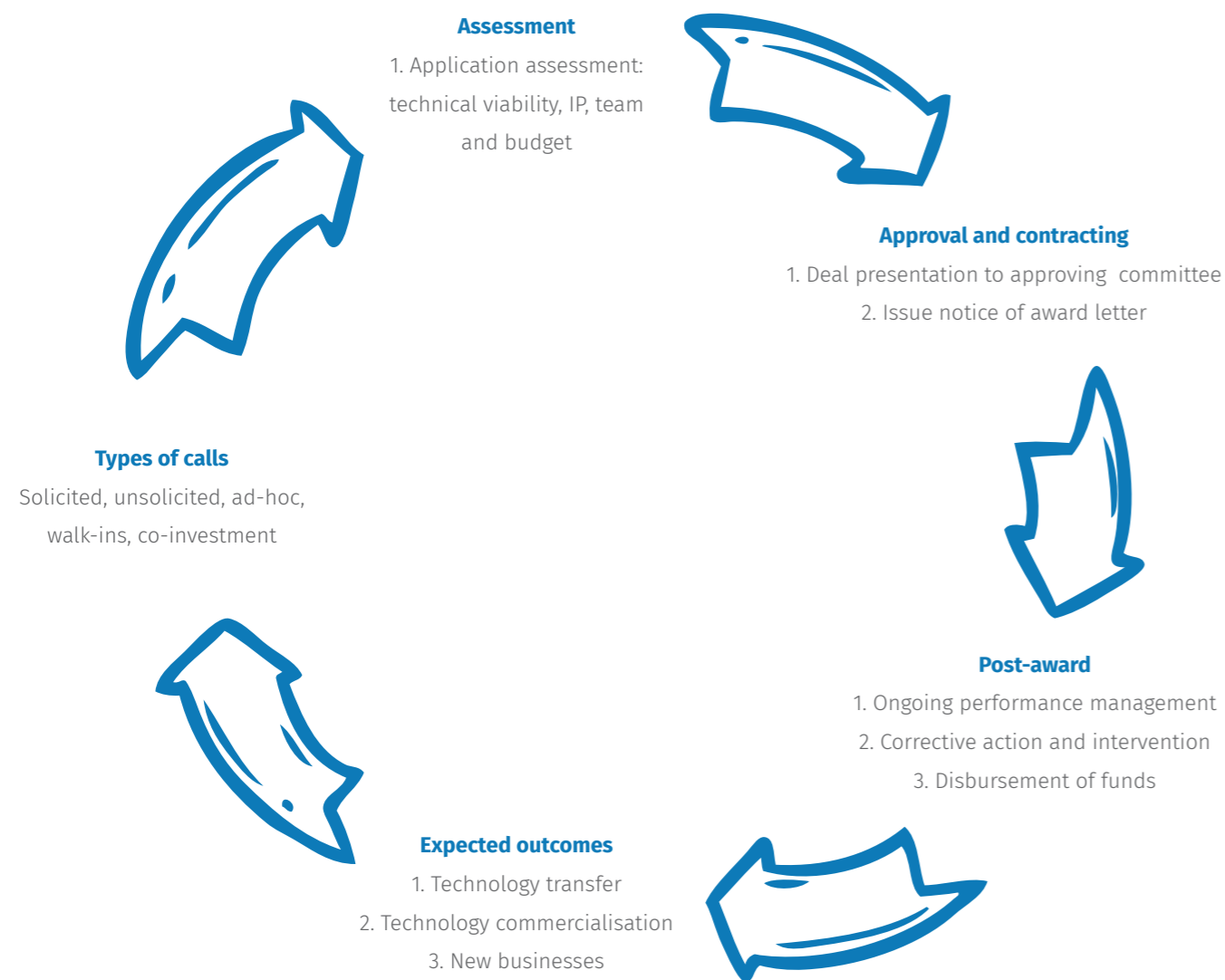


Figure 5. Seed funding application management

Source: TIA (n.d.a.)

##### (a) Technology development fund and pre-commercialisation fund application management process

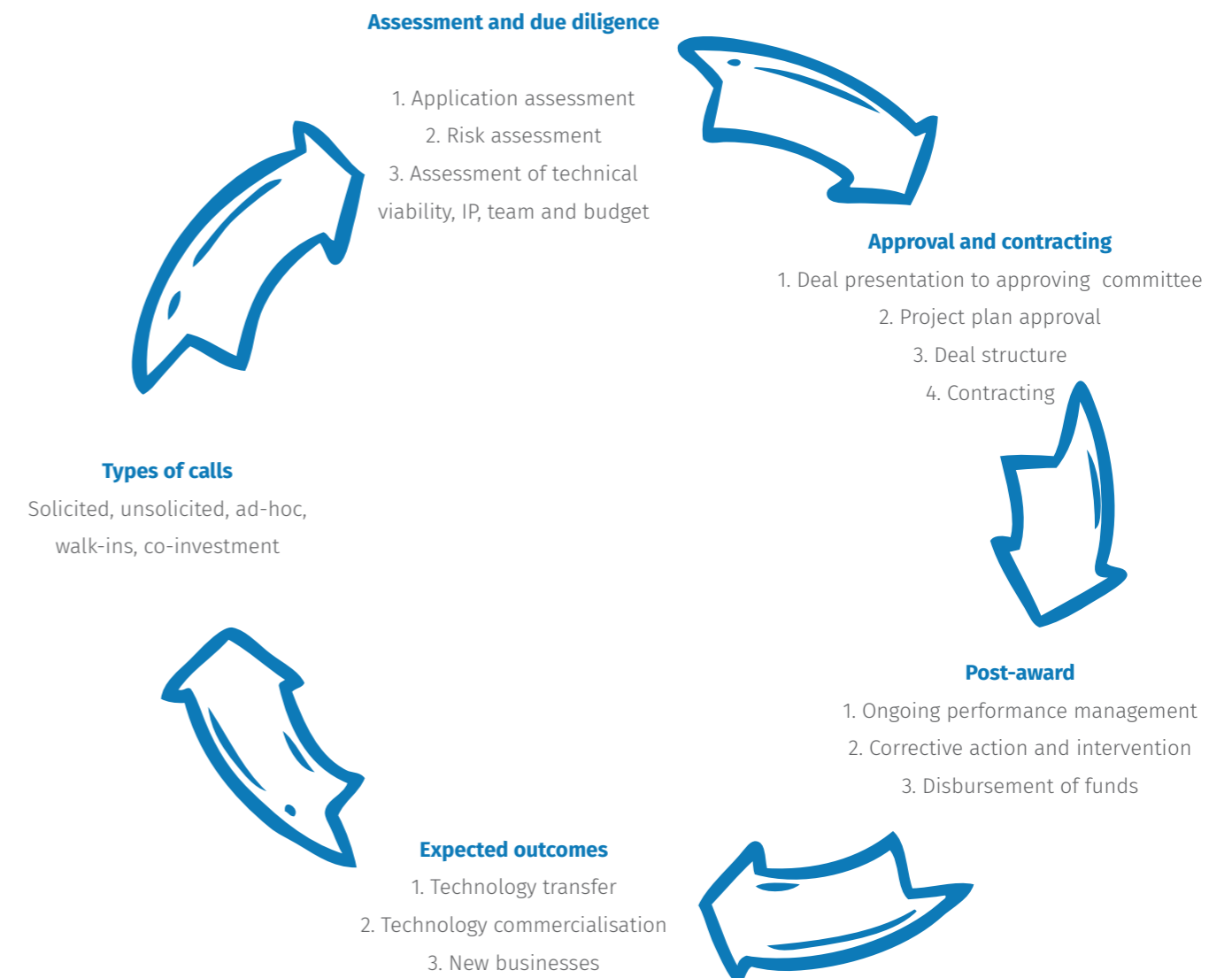


Figure 6. Technology development and pre-commercialisation application management

Source: TIA (n.d.a.)

#### 4.6.5.3 Application template: Innovation support grants

The application template for the innovation grant contains (a) a CV section (Template 3) and (b) innovation project information (Template 8) and operating cost budget and business plans.



## Innovation support grants application form

Project Information	Section	Details
	Project Title	This must be short and precise, setting out the general objectives of the proposed research.
	Project duration	Project start date Project end date
	Goals/specific aims	State the strategic goal(s) to which the solution of the stated research problem(s) will contribute.
	Gap analysis	What gap in the market does this project aim to fulfil?
	Proposed technology innovation (maximum 250 words)	<ol style="list-style-type: none"> <li>1. What problem/opportunity does your technology innovation aim to address?</li> <li>2. What is the technology innovation in your proposed solution (process/product/service), to address the opportunity described above? How is the technology innovation different or unique?</li> <li>3. Explain what stage of development has been achieved to date with above solution.</li> <li>4. What further development is required to take your product/process/service to market?</li> </ol>
	Intellectual property (maximum 250 words)	<ol style="list-style-type: none"> <li>1. Define the target market in detail: Who are the intended customers? Who will buy the product/process/service? Distinguish, if appropriate, between customers and actual end-users.</li> <li>2. What is your estimation of the current market size?</li> <li>3. List current and potential direct and indirect competition in your target market segments. Describe why customers will buy your product rather than the competition's.</li> <li>4. Value chain. Describe steps in the value chain where you fit, and how you will produce and distribute the product or service to end-users. What existing industry players will you leverage along the value chain to generate revenue?</li> </ol>
	Team (maximum 250 words)	<ol style="list-style-type: none"> <li>1. List core team members, their prior experience and their role in the project.</li> <li>2. What skills are you missing on the team to achieve your project milestones and how will you fill those gaps?</li> </ol>

Source:TIA (n.d.b)

Project Information	Section	Details																
	Collaborators	<table border="1"> <thead> <tr> <th>Name and surname</th> <th>Internal/external</th> <th>Nature of collaborations/partnerships</th> <th>Community (if any)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Name and surname	Internal/external	Nature of collaborations/partnerships	Community (if any)												
Name and surname		Internal/external	Nature of collaborations/partnerships	Community (if any)														
Project information (include sections for technology development grants and pre-commercialisation grants)	Details of anticipated commercialisation	Provide a brief description of the underlying technology and the anticipated product or products that could emanate directly from the further development of this opportunity. DO not disclose any proprietary information or technology.																
	Market opportunity and competitive advantage:	<p>What existing problem(s) would you solve with your service or product? Who are your likely competitors?</p> <p>How will your product compare to that of your competitors in terms of usefulness, cost, technological innovations, time-to-market etc?</p> <p>Why would the market prefer your product over existing ones?</p>																
	Three-year strategic map for innovation, including motivations	Explicit roadmap for desired future																
	Drawings of prototype/commercial product(s) and/or services, etc. (if any).	Include attachments																
	Anticipated branding of commercial product(s) and/or services																	

Source:TIA (n.d.b)

Project and funding details and business plan	Section	Details		
	Co-funding	Name co-funders linked to your application.		
	*Budget Summarise the key activities and the associated costs for which funding requested will be utilised in the table below (see fundable activities (Table 3) for budget items).	Budget items	Cost	Justification
		Project operation cost		
		Consulting		
		Running costs		
		Administrative costs		
		Overhead		
		Variable		
		Capex		
		Large equipment		
		Pilot plant		
	Total requested			
Attachments	Gantt Chart	1.	Detailed project plan with timelines and budget	
		2.	Break-even analysis	

Source:TIA (n.d.b)

Fundable activities: Seed funding	Fundable activities: Technology development and pre-commercialisation fund
<ul style="list-style-type: none"> <li>Initial proof of concept (note that this assumes some level of proof of concept has been achieved using research funding)</li> <li>Product, process (comprehensive technology package) and prototype development</li> <li>Sourcing of IP opinions</li> <li>Production of market samples and/or associated testing, analytical data and method development, and specification sheet development</li> <li>Refining and implementing designs</li> <li>Conducting field studies</li> <li>Support of certification activities</li> <li>Piloting and scale-up and techno-economic evaluation</li> <li>Detailed primary market research, or specialist consulting</li> <li>Business plan development</li> </ul>	<ul style="list-style-type: none"> <li>Initial proof of concept (note that this assumes some level of proof of concept has been achieved using research funding)</li> <li>Product, process (comprehensive technology package) and prototype development</li> <li>Production of market samples and/or associated testing, analytical data and method development and specification sheet development</li> <li>Refining and implementing designs</li> <li>Conducting field trials</li> <li>Support of certification activities</li> <li>Piloting and scale-up and techno-economic evaluation</li> <li>Detailed primary market research, or specialist consulting</li> <li>Business plan development</li> </ul>

Table 3. Fundable activities

Source: UCT Innovation Support (n.d.)

#### 4.6.5.4 Public-private partnerships (PPP) in research and innovation (R&I)

Oyelaran-Oyeyinka, Vallejo and Vasudev (2018) define PPPs in R&I as “modes of cooperation between publicly-funded research organizations and private firms, characterized by a long-term institutional and strategic formal arrangement in order to achieve complementary goals by jointly operating research activities, jointly sharing financial risk, and jointly exploiting research results”. As for the benefits, they argue: “The adoption of PPPs in R&I enables costs and risks to be distributed among the system actors, facilitates the integration of new knowledge into an industry, and, most importantly, fosters collaboration with firms by providing them with consulting and expertise at an affordable cost.” In their research they reiterate that SGCs are central to the long-term development of ST&I-led development and play a key role in the successful evolution of different forms of PPPs. The research of Oyelaran-Oyeyinka, Vallejo and Vasudev (2018) offers several conclusions and recommendations for academics, various actors within state systems of innovation and policy-makers to create effective PPP in R&I.

Recommendation	Action	Measurement
Strengthen systemic cooperation and learning	<p>SGCs in Africa to engage in the deliberate creation of capacity strengthening for sectoral interaction mapping and learning.</p> <p>SGCs to promote, monitor and evaluate the knowledge interactions between a variety of different key actors (such as university departments, centres of excellence and public research institutes; traditional knowledge holders [farming communities] and other more research-based and product development actors; local and foreign firms and universities; local and foreign firms; local and foreign firms; farmers, consumers, seed banks and other intermediary organisations that help gauge local demand and issues imminent to the agricultural system; various governmental agencies responsible for promoting these competencies locally)</p>	<p>The percentage of funds devoted to research</p> <p>The percentage of research contracted to and from outside organisations</p> <p>The level of joint research with other organisations (basic, applied or product development initiatives)</p> <p>The number of scientific publications jointly written with other institutions</p> <p>The level of co-authorship based on joint research</p> <p>The exchange of key technical and scientific personnel (numbers and levels of qualification)</p> <p>The involvement in joint R&amp;D programmes organised by the government at the sectoral level</p> <p>The amount of consultancy research carried out for other organisations, both local and foreign</p>
Strengthen state institutions for PPPs in R&I	<p>Strengthen state institutions for PPPs in R&amp;I to enable them to use PPPs for R&amp;I as strategies for advancing technological change in Africa and addressing market failures.</p> <p>Devote resources to key sectors to develop the national system of innovation</p>	A vibrant national system of innovation
Support policy-induced partnership	Apply inducement tools (incentives) and mechanisms, as cooperative interaction between economic agents will largely respond to these.	Policy-induced partnership
Strengthen the governance of systems of innovation	<p>Develop initiatives aimed at encouraging the private sector to invest substantially in innovation.</p> <p>Create frameworks to promote linkages between universities, institutions for science, engineering and technology, and the private sector to share risks (using partnership innovations).</p> <p>Address severe internal challenges inherent in the STI governance structure generally and PPPs in R&amp;I specifically, as well as the existing lopsidedness of the STI administrative system.</p>	Strong governance structures

Table 4. Recommendations to create effective PPP in R&I

Source: Oyelaran-Oyeyinka, Vallejo & Vasudev (2018)

#### 4.6.6 Knowledge interchange and collaboration

The objectives of knowledge interchange and collaboration grants are:

- To proactively contribute to the internationalisation of science
- To facilitate the generation and transfer of knowledge
- To enhance international science collaboration networks
- To create an enabling environment to internationalise the research platform
- To promote strategic human resource development
- To position and promote your national science system for recognition and support

Template 9.

### International partnership funding scheme framework document

Who can apply	<p>PIs in both countries (existing or potential collaboration)</p> <ul style="list-style-type: none"> <li>• Each must submit an application to the SGC in their own country.</li> </ul>
Application process	<p>Applications must be written in a language agreed by all participating countries (state SGC). The joint application must be written in English. (Give details of application submission procedure.)</p> <ul style="list-style-type: none"> <li>• Joint peer reviews</li> <li>• Joint panels</li> <li>• Joint final funding decisions</li> <li>• Joint monitoring (including technical audits)</li> </ul>
Closing date	<p>Applications for both (name countries) must be submitted by (date). Applications received after this date will not be considered for funding.</p>
What funding can be used for	<ul style="list-style-type: none"> <li>• Researchers' workshops (inbound and outbound)</li> <li>• Experts' workshops</li> <li>• Ambassadorial forums</li> <li>• Special initiatives (summer school)</li> <li>• Technical audits</li> <li>• S&amp;T conferences</li> </ul>
Potential funding	<ul style="list-style-type: none"> <li>• Research-related costs: fieldwork, publication costs, etc.</li> <li>• Exchange programmes: mobility of researchers, postdocs and doctoral and master's students between the two countries</li> <li>• Doctoral and master's research placements: for visits not shorter than 2 weeks and not longer than 3 months per annum</li> <li>• Knowledge sharing costs: in support of project-related activities, such as joint workshops, seminars, conferences, symposia, lecturer presentations, meetings, and local and regional dissemination of results to relevant stakeholders</li> <li>• Joint programme workshops: travel costs for the launching and closing workshops for all granted projects</li> <li>• Consumables: 15% of the budget allowed for consumables and accessories</li> </ul>

Non-fundable activities	<ul style="list-style-type: none"> <li>• Consultant fees</li> <li>• Educational expenses (scholarships and/or bursaries, etc.)</li> <li>• Large equipment</li> <li>• Project management fees</li> <li>• Salaries, stipends and temporary staff fees</li> </ul>
How are applications evaluated?	<ul style="list-style-type: none"> <li>• Scientific and technical merit</li> <li>• Suitability and feasibility</li> <li>• International significance</li> <li>• Value addition by the collaboration / national priority</li> <li>• Potential for promoting equity and redress / capacity building</li> <li>• Involvement of students and/or young scientists through exchange programmes and short-term placements.</li> </ul>
Project follow-up and reporting	<ul style="list-style-type: none"> <li>• A final scientific and financial report will be submitted in English by the project leaders in both countries no more than 3 months after the end of the project.</li> <li>• The report will mention the outputs of the projects compared with the objectives and aims of the proposal.</li> <li>• The joint publications by the researchers will mention the support from the both SGCs</li> </ul>

Source: ERC Mobility (2020)

Template 9.

## Knowledge interchange and collaboration application form

The application form has three sections:

### 1. Research proposal

- 1.1. Project information
- 1.2. Proposal summary
- 1.3. Key words
- 1.4. Principal and co-principal investigators and research teams
- 1.5. High-level summary of funding requested
- 1.6. Background to research proposal including literature review
- 1.7. Detailed scientific methodology
- 1.8. Research environment
- 1.9. Collaborative strength
- 1.10. Grant governance
- 1.11. Grant management
- 1.12. Compliance
- 1.13. Alignment with Vision 2030 and national priorities
- 1.14. References
- 1.15. CVs
- 1.16. Letter of support from the international collaborator

### 2. Budget and costs

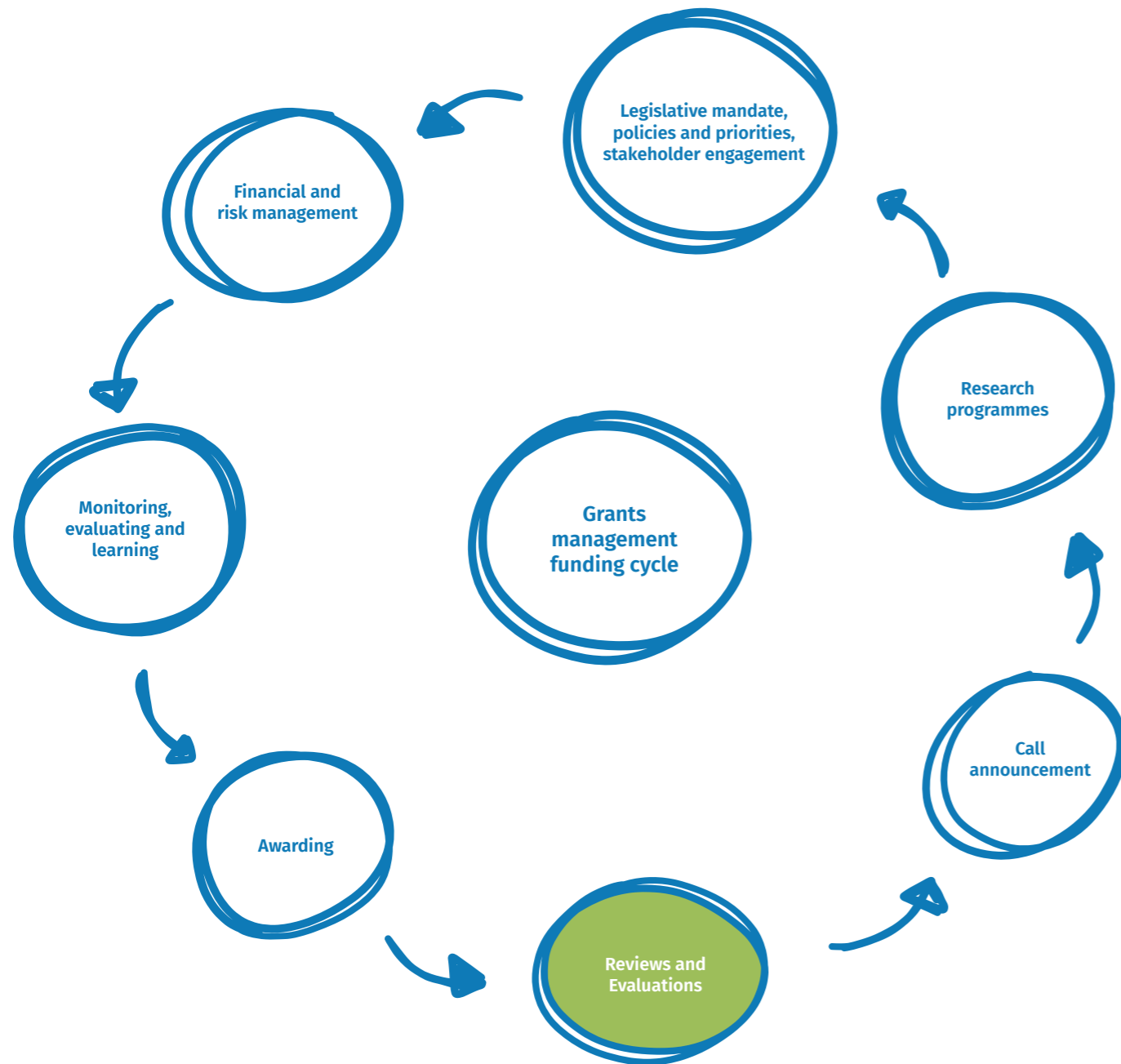
- 2.1. Year one
- 2.2. Year two
- 2.3. Year three

### 3. Declaration of originality

- 3.1. Originality
- 3.2. Alignment with the university's overall R&D strategy
- 3.3. Resources and facilities are available to support the project

## SECTION 5

# Reviews and Evaluation



### 5.1 Review of grant applications

Peer review ensures that proposals received by SGCs for research funding and research training are scrutinised by independent scientific experts who specialise in the areas of science covered in the proposal. Specially convened expert panels assess proposals, drawing on external peer reviewers' comments, and make funding recommendations. Eligibility criteria in the funding calls are based the SGC funding strategy/priorities and focus. Each competition has its own assessment criteria which will be made available to all applicants.

### 5.1.1 Steps in the peer-review process

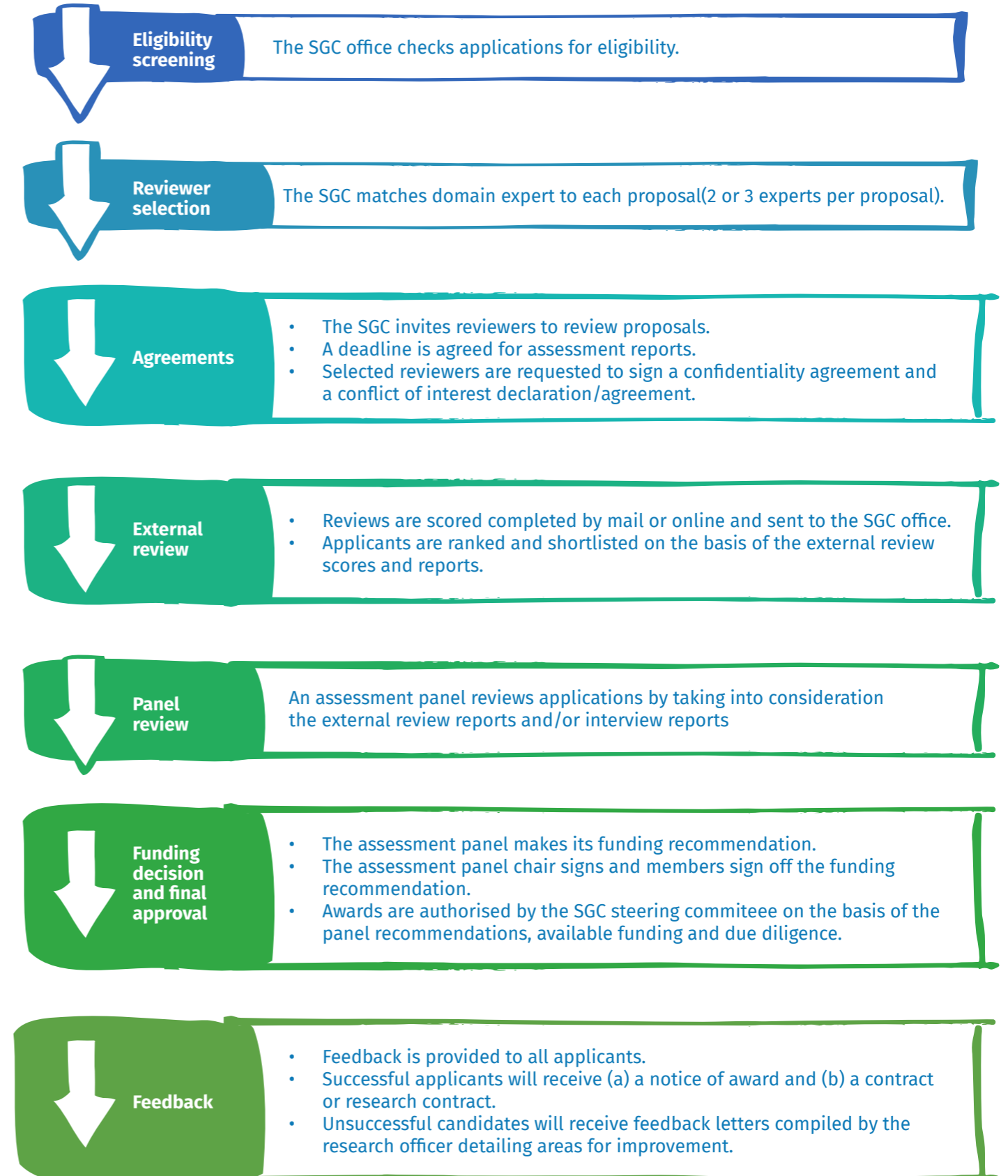


Figure 7. Steps in the review process



## 5.2 Types of review

Ramoutar-Prieschl and Hachigonta (2020) suggest a common approach for conducting peer review processes is by either (i) panel review; (ii) external review; or (iii) both. The review processes are based on insights and recommendation of well-informed experts on various quality dimensions of research, as guided by a scorecard. Figures 8 and 9 illustrate the external and panel review (both) and the mail review processes.

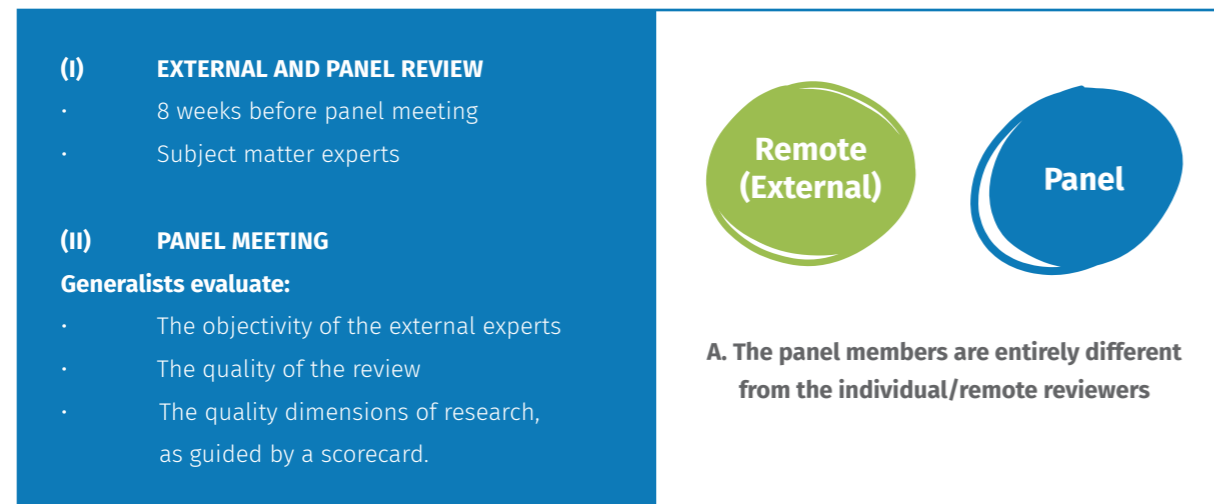


Figure 8. External and panel review

Source: NRF (2017)

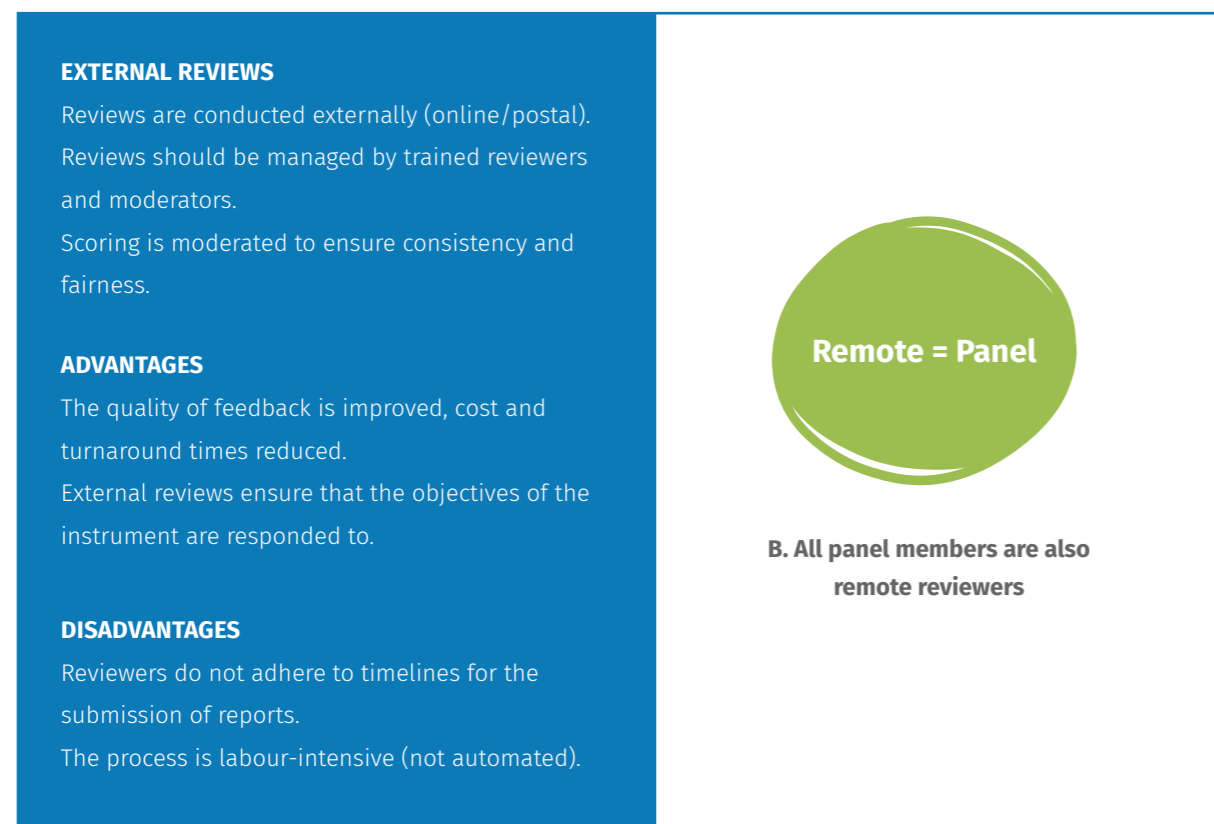


Figure 9. External review

Source: NRF (2017)

## 5.2.3 Principles of a quality peer review

### Fairness.

Peer review processes are fair and seen to be fair by all involved.

### Transparency.

All stages of peer review are transparent.

### Independence.

Peer reviewers provide independent advice. There is also independent oversight of peer review processes by independent chairs and observers.

### Appropriateness and balance.

The experience, expertise and operation of peer reviewers are appropriate to the goals and scale of the funding vehicle.

### Research community participation.

Persons holding taxpayer-funded grants should willingly make themselves available to participate in peer review processes, including mentoring of junior researchers, whenever possible.

### Confidentiality.

Participants accept that confidentiality is important to the fairness and robustness of peer review.

### Impartiality.

Peer review is objective and impartial, with appropriate processes in place to manage real and perceived conflicts of interest (CoI).

### 5.2.3.1 Managing conflicts of interest in peer review

A conflict of interest occurs when an individual involved in the assessment of a proposal for funding has a personal, professional or organisational relationship with the applicants, affecting their ability to undertake their role in an objective and unbiased way.

#### Reviewers:

Anyone asked to provide a review should check to ensure they have no material conflicts. If they do, they should decline the request, citing "conflict of interest" as their reason.

#### Panel:

Panel members are reminded to identify any material conflicts of interest, especially with proposals they have been asked to introduce, as early as possible in advance of the meeting. Where a conflict of interest is identified, panel members' meeting papers will be edited to remove relevant information regarding the conflicted proposal and the member will be asked to leave the meeting room when it is discussed. The meeting record will note all instances where a conflict of interest was identified and managed at a panel. For some panels, particularly where these are interview panels (pitching proposals), the standard practice of members leaving the meeting for a conflicted proposal may not be practical. However, they will never participate in the discussion of that proposal, or be permitted to influence the final ranking of a proposal where such a conflict exists. In the peer review of calls with a specific research scope the SGC will avoid appointing anyone to a panel that is a named investigator on any proposal to be considered by that panel.

This code applies to the external reviewers, the panel of experts (PoE) and the SGC programme coordinators (PCs).

## Template 10.

# Conflict of interest, confidentiality and non-disclosure policy

### CONFLICT OF INTEREST POLICY

An important aspect of this policy is the avoidance of any conflicts between personal interests and the interests of the applicants. Here is a summary of potential conflicts of interest and other circumstances that may raise questions about the impartiality of your expert evaluation. Before submitting any written reviews or before participating in any meeting in which proposals are discussed, reviewers must inform the **SGC programme office** whether circumstances exist that could be interpreted as a conflict of interest.

You cannot be a PC, a member of the PoE or serve as an external reviewer if you are involved in a proposal submitted to the call.

You have an institutional conflict with an applicant when you

- Hold a position, such as professor, adjunct, visiting scientist or consultant, with a hierarchical or department relation
- Are serving in an advisory body or similar body of the applicant's institution (current or past activity within the past 5 years)

You have a financial conflict with a proposal when you

- Hold a fiduciary position (officer, governing board, councillor, trustee) in one of the institutions applying for funding
- Gain direct or indirect benefits if the proposal is accepted
- Have a personal economic interest in the funding decisions

You have an individual conflict with a proposal which involves a

- Relative, spouse or family member, or someone with which you have personal ties or conflicts
- Current business or professional partner
- Former employer (within one year)
- Person with whom you were involved in ongoing or recently concluded professional appointment proceedings
- Present or past PhD advisor/student (unless independent scientific activity of more than 10 years exists)
- Person with whom you had close scientific collaboration within the past three years (e.g. preparation of an application, publication or exploitation of results, co-publication of articles)
- Co-editor within the past 36 months
- Person with whom you are in direct scientific competition with personal projects or plans

You may also have a conflict with a proposal involving

- A person living in your household or their employer
- A parent's employer (except solely receipt of honoraria)
- "catch all"

"Catch all"

- Any other circumstances where your impartiality could be questioned

Use the **"reasonable person test"**: Would a reasonable person with all the relevant facts question your impartiality?

A conflict of interest or the appearance of a conflict means that you will not be able to participate in deliberations on the proposal in question. You may not serve as a reviewer if you are included in a proposal submitted to this competition. You will be asked to leave the room during discussions of any proposals for which you have conflicts as identified in the above listing.

### CONFIDENTIALITY AND NON-DISCLOSURE POLICY

The responsibilities of a reviewer may only be undertaken personally and may not be delegated to third parties. The scientific content of the proposal may not be exploited for personal or other scientific purposes.

Documentation provided to external reviewers, members of the PoE and SGC PCs may contain personal information and confidential technical information. You must treat all documentation as strictly confidential.

1. Peer review documentation provided to external reviewers and PoE members must be used only for the purpose for which it was originally collected, i.e., assessing applications and making funding recommendations. It must not be used for any other purpose or discussed with or disclosed to individuals who are not external reviewers, members of the PoE or SGC PCs.
2. All submitted proposals, the correspondence forwarded to you, the reviews and the identity of the reviewers must be treated confidentially.

3. External reviewers and PoE members must ensure that proposals in their possession are stored in a secure manner to prevent unauthorised access.
4. Peer review deliberations are confidential. Comments made by individual PoE members during the meetings and during the rating of applications must never be discussed or disclosed. Panel summaries that reflect the consensus comments on applications will be provided by the SGC programme office to the leading principal investigators. Until the call results are announced officially, they must remain confidential. The names of applicants whose applications are not recommended for support or who are declared ineligible will not be made public and must not be divulged by POE members.
5. Enquiries received by PoE members from applicants about the review of their applications must be referred to the SGC programme office. There must be no direct communication between applicants and PoE members on matters arising out of peer review. A reviewer should not identify himself/herself to the applicant or any third party.
6. The identity of the external reviewers and the PoE must remain confidential, even after the end of the evaluation process.

The external reviewers, the POE and SGC PCs are requested to sign the following declaration:

Conflict of interest, confidentiality and non-disclosure declaration for panel of experts (PoE), external reviewers, SGC PCs

1. Your potential conflicts of interest  
As a member of the POE, an external reviewer or PC, you will be asked to evaluate and select applicant grant proposals. You might have a conflict or be perceived to have a conflict with one or more. Should any conflict arise during your term, or when you are asked to do a review, you must bring the matter to the attention of the SGC programme office, which will determine how the matter should be handled and will tell you what further steps, if any, to take.
2. No use of "insider" information  
If your designation gives you access to information not generally available to the public, you must not use that information for your personal benefit or make it available for the personal benefit of any other individual or organisation.
3. Your obligation to maintain the confidentiality of proposals and applicants  
Proposals are received with the expectation of protection of the confidentiality of their contents. For this reason, you must not copy, quote, or otherwise use or disclose to anyone, including your graduate students or post-doctoral or research associates, any material from any proposal you are asked to review. If you believe a colleague can make a substantial contribution to the review, please obtain permission from the SGC programme office that asked you to review the proposal before disclosing either the contents of the proposal or the name of any applicant or principal investigator.
4. Confidentiality of the review process and reviewer names  
The names of external experts and PoE members will not be made public. You must respect the confidentiality of all principal investigators and of other reviewers, as appropriate. You cannot disclose their identities, their relative assessments or rankings of proposals by a peer review panel, or other details about the peer review of proposals.

### I CERTIFY

Your potential conflict.

I have read the list of affiliations and relationships that could prevent my participation in matters involving such individuals or institutions. To the best of my knowledge, I have no affiliation or relationship that would prevent me from performing my duties. I understand that I must contact the program office if a conflict exists or arises during my service. I further understand that I must sign and return this conflict statement to the SGC programme office before I can review proposals.

Maintaining the confidentiality of others.

I will not divulge or use any confidential information, described above, that I may become aware of during my service. I have read and understand the information on confidentiality and non-disclosure and promise to take all necessary measures to fulfil my obligations in my role as PoE member, external reviewer or SGC PC.

Your identity as a reviewer will be kept confidential.

I understand that my identity as a reviewer of specific proposals will be kept confidential to the maximum extent possible.

Name (print) \_\_\_\_\_ Signature \_\_\_\_\_ DATE \_\_\_\_\_

Function (PoE, external reviewer, SGC PC) \_\_\_\_\_

\*SGC PC(s) : Replace with applicable term(s)

Source: Alberta Innovates Reviewer Declarations (2018)

### 5.2.3.2 Assessing the quality of peer review reports

Peers who are asked to make judgments about the quality of a proposed or completed project must do their best to determine whether the work they have been asked to review is internally consistent and conforms to the practices of their field of research. This certainly includes:

- Assessing whether the research methods are appropriate
- Checking calculations and/or confirming the logic of important arguments
- Making sure the conclusions are supported by the evidence presented
- Confirming that the relevant literature has been consulted and cited

At the very least, peer reviewers should be expected to assess whether the proposal under review makes sense and conforms to accepted practices, based on the information presented. A validated tool that clearly defines peer review report quality in evaluating interventions can improve the peer review process.

<b>POOR</b>	Does not follow reviewer guideline structure or preferred formatting in providing comments; not submitted on time.
<b>SATISFACTORY</b>	Comments are somewhat helpful; review meets timeline.
<b>GOOD</b>	Thorough and helpful comments; submission on time.
<b>EXCELLENT</b>	Very strong and detailed comments; review submitted early or on time; comments enhance the proposal's merit and relevance in the field.

Table 5. Tool to assess the quality of peer review reports

Source: Superchi et al. (2019)

### 5.2.4 Assessment criteria

The assessment of any research proposal is based on three core criteria:

1. Importance: How important are the questions, or gaps in knowledge, that are being addressed?
2. Scientific potential: What are the prospects for good scientific progress?
3. Resources requested: Are the funds requested essential for the work, and do the importance and scientific potential justify funding on the scale requested? Does the proposal represent good value for money?

Reviewers are asked to consider other aspects of the research, including the potential impact and pathways to achieving this, ethical issues, appropriate use of animals and/or human tissue, methodology and experimental design and data management plans. Each funding scheme will have a detailed set of assessment criteria applicable to the scheme. Below is a set of assessment criteria and their descriptors.

Template 11

## Assessment criteria template

Criteria	Description
Application process	<ul style="list-style-type: none"> <li>• The significance and quality of the work, and the scientific impact it will have in terms of enhancing or developing insights, developing the field and adding to knowledge or understanding in the area to be studied in a national or international context</li> <li>• The extent to which the research questions, issues or problems that will be addressed through the work are stated and their importance and appropriateness specified</li> <li>• How the proposal fits within the current state of knowledge and other work under way in the field</li> <li>• Appropriateness, effectiveness and feasibility of the proposed research methods and/or approach</li> </ul>
Alignment of aims and objectives to strategic priorities/ objectives	<ul style="list-style-type: none"> <li>• Is the research purpose clear and is the research method concrete and appropriate in order to achieve its research objective?</li> <li>• The extent to which the aims and objectives are aligned to areas of national research priority</li> </ul>
Feasibility of the proposed research	<ul style="list-style-type: none"> <li>• Whether a research study is likely to be delivered successfully, taking into account the practical aspects (i.e. participants, resources, environment) of managing the project</li> </ul>
Relevant and cited literature review	<ul style="list-style-type: none"> <li>• Is it relevant to the aim and problem statement of the study?</li> <li>• Is it sufficiently comprehensive and does it use essential information sources?</li> <li>• Does it offer a logically organised and integrated summary (in the researcher's own words, of course)?</li> <li>• Does it note theories relevant to the aim of the study?</li> </ul>
Novelty or new knowledge generation	<ul style="list-style-type: none"> <li>• Does the application challenge and seek to shift current research or clinical practice paradigms by utilising novel theoretical concepts, approaches or methodologies, instrumentation, or interventions?</li> <li>• Are the concepts, approaches or methodologies, instrumentation or interventions novel to one field of research or novel in a broad sense?</li> <li>• Is a refinement, improvement or new application of theoretical concepts, approaches or methodologies, instrumentation or interventions proposed?</li> </ul>
Track record of applicant	<ul style="list-style-type: none"> <li>• Judging from the applicant's track record in research, do they have the potential to successfully manage and deliver a major research programme?</li> <li>• What is the named applicant's track record and standing in their field?</li> <li>• How appropriate is the expertise of the applicant to the proposed work?</li> </ul>
Research environment and people	<ul style="list-style-type: none"> <li>• Is the proposed environment / Are the proposed environments suitable and does it / do they have the variety of expertise and disciplines to support a programme?</li> <li>• Has the host institution / Have the host institutions demonstrated a clear commitment to the proposed programme for the duration of the grant?</li> </ul>
Collaboration	Does the work entail cross-sector collaboration, in particular collaboration between non-governmental organisations and tertiary institutions?

Source: UKRI Medical Research Council (2018)

Criteria	Description
Impact	How likely is it that the project will make an important scientific contribution to the research field(s) involved, to providing research opportunities to students, and to strengthening the research environment of the institution, taking into account the review criteria and additional review criteria applicable to the project proposed?
Capacity development/ training/mentoring	Does the environment provide appropriate opportunities for the training and career development of personnel supported on the grant?
Budget	Are the budget and the requested period of support fully justified and reasonable in relation to the proposed research?

Source: UKRI Medical Research Council (2018)

### 5.2.4.1 External or postal reviews

These reviews are usually conducted by national and international subject experts of high academic and professional credibility who are recognised internationally for their research contributions. The assessment of all research proposals is commonly based on three core criteria:

- Importance: How important are the questions, or gaps in knowledge, that are being addressed?
- Scientific potential: What are the prospects for good scientific progress?
- Resources requested: Are the funds requested essential for the work, and do the importance and scientific potential justify funding on the scale requested?

The scoring system allows peer reviewers to provide an overall score for a research proposal, taking into account all the assessment criteria. The scoring matrix contains descriptions of what to expect of proposals in each scoring band. Reviewers are expected to provide comments on the proposal and score from 1 to 6 using the peer reviewer scoring system. External peer review comments inform decisions about whether proposals advance to the panel meeting.

Template 12

## External peer reviewer scoring matrix

Score indicators	Score
<p><b>Exceptional – Top international programme, or of exceptional national strategic importance</b></p> <p>Scientific quality and impact</p> <ul style="list-style-type: none"> <li>• Crucial scientific question or knowledge gap or area of strategic importance</li> <li>• Original and innovative; novel methodology and design</li> <li>• Potential for high health and/or socioeconomic impact</li> </ul> <p>Scientific leadership</p> <ul style="list-style-type: none"> <li>• Excellent leadership (track record, team, environment, collaborators)</li> </ul> <p>Justification of resources</p> <ul style="list-style-type: none"> <li>• Potential for high return on investment (resources requested, likelihood of project delivery, anticipated knowledge generation)</li> <li>• Appropriate staff time allocated to deliver project (principal investigators, co-investigators)</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>• Ethical and/or governance issues fully considered</li> </ul>	6
<p><b>Excellent – Internationally competitive and leading edge nationally, or of national strategic importance</b></p> <p>Scientific quality and impact</p> <ul style="list-style-type: none"> <li>• Crucial scientific question or knowledge gap or area of strategic importance</li> <li>• Original and innovative; novel methodology and design</li> <li>• Potential for high health and/or socioeconomic impact</li> </ul> <p>Scientific leadership</p> <ul style="list-style-type: none"> <li>• Excellent leadership (track record, team, environment, collaborators)</li> </ul> <p>Justification of resources</p> <ul style="list-style-type: none"> <li>• Potential for high return on investment (resources requested, likelihood of project delivery, anticipated knowledge generation)</li> <li>• Appropriate staff time allocated to deliver project (principal investigators, co-investigators)</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>• Ethical and/or governance issues fully considered</li> </ul>	5
<p><b>Very high quality – Internationally competitive in parts</b></p> <p>Scientific quality and impact</p> <ul style="list-style-type: none"> <li>• Crucial scientific question or knowledge gap or area of strategic importance</li> <li>• Robust methodology and design (innovative in parts)</li> <li>• Potential for high health and/or socioeconomic impact</li> </ul> <p>Scientific leadership</p> <ul style="list-style-type: none"> <li>• Excellent leadership (track record, team, environment, collaborators)</li> </ul> <p>Justification of resources</p> <ul style="list-style-type: none"> <li>• Potential for significant return on investment</li> <li>• Appropriate staff time allocated to deliver project (principal investigators, co-investigators)</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>• Ethical and/or governance issues fully considered</li> </ul>	4

Source: UKRI (2018)

Score indicators	Score
<p><b>High quality</b></p> <p>Scientific quality and impact</p> <ul style="list-style-type: none"> <li>Worthwhile scientific question or knowledge gap or a valuable scientific resource</li> <li>Methodologically sound study</li> <li>Potential for significant health and/or socioeconomic impact</li> </ul> <p>Scientific leadership</p> <ul style="list-style-type: none"> <li>Strong leadership (track record, team, environment, collaborators)</li> </ul> <p>Justification of resources</p> <ul style="list-style-type: none"> <li>Potential for significant return on investment (resources requested, likelihood of projected delivery, anticipated knowledge generation)</li> <li>Appropriate staff time allocated to deliver project (may be scope to strengthen management of the project)</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>Ethical and/or governance issues well considered</li> </ul>	3
<p><b>Good quality</b></p> <p>Scientific quality and impact</p> <ul style="list-style-type: none"> <li>Worthwhile scientific question with potentially useful outcomes</li> <li>Methodologically sound study, but with areas requiring revision</li> <li>Likelihood of successful delivery</li> </ul> <p>Scientific leadership</p> <ul style="list-style-type: none"> <li>Appropriate leadership (scope to strengthen team, environment, collaborators)</li> </ul> <p>Justification of resources</p> <ul style="list-style-type: none"> <li>Potentially more limited return on investment (resources requested, likelihood of project delivery, anticipated knowledge generation)</li> <li>Resources broadly appropriate to deliver the proposal</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>Ethical and/or governance issues adequately considered</li> </ul>	2
<p><b>Poor quality</b></p> <p>Scientific quality and impact</p> <ul style="list-style-type: none"> <li>Poorly defined question</li> <li>Methodologically weak study</li> <li>Limited likelihood of new knowledge generation</li> </ul> <p>Scientific leadership</p> <ul style="list-style-type: none"> <li>Poor leadership</li> </ul> <p>Justification of resources</p> <ul style="list-style-type: none"> <li>Potentially poor return on investment</li> </ul> <p>Other</p> <ul style="list-style-type: none"> <li>Ethical and/or governance issues not adequately considered</li> </ul>	1

Source: UKRI (2018)

### 5.2.4.2 Panel review process

A selection committee meeting is held to critically evaluate each funding proposal aided by the comments provided by external peer reviewers. Members consider each proposal based upon its quality, impact and productivity, as detailed in the panel review score cards (Template 14 and 15) below:

Template 13

## Scorecard for the technical-scientific evaluation of research project proposals

Evaluation criteria	Weight Rated
a) Relevance identified priority areas	5%
b) Significance of the problem to be investigated for the country's development	10%
c) The overall quality of the proposal in terms of:	
C1) Characterization of the problem	15%
C2) Review of the relevant scientific literature	10%
C3) methodology to be used	15%
C4) temporal adequacy for project implementation	5%
C5) cost-efficiency	5%
d) Technical, scientific and management capacity of the PI	20%
e) Expected results and impact in terms of socio-economic benefits	10%
f) Quality of results indicators (for M&A)	5%
<b>TOTAL</b>	<b>100%</b>

Source: FNI (2015)

Template 14

## Scorecard for the technical-scientific evaluation of proposals for innovation projects

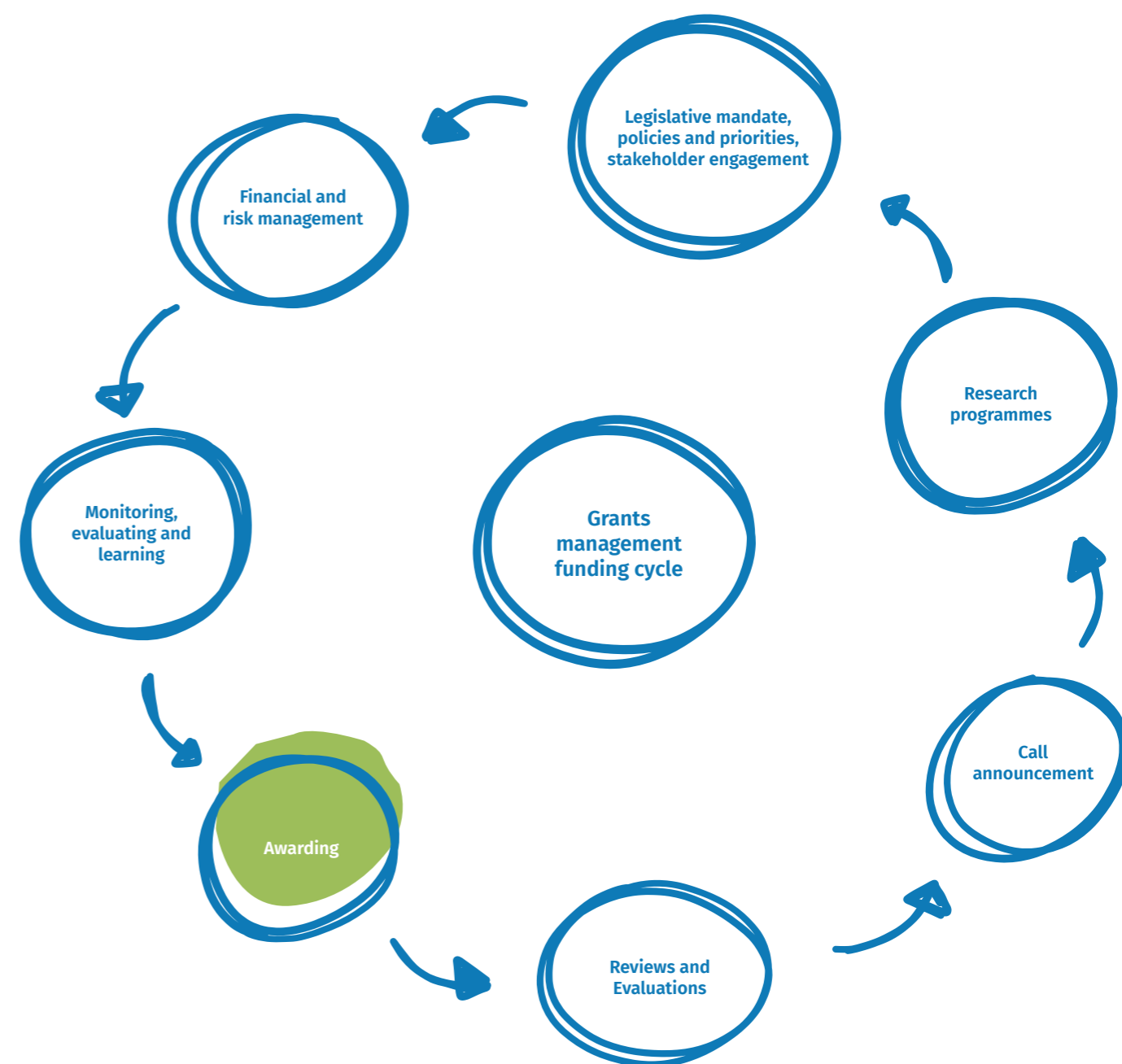
Evaluation criteria	Weight Rated
<p><b>Potential to produce rapid results</b></p> <p>Evaluate the duration of the project in relation to the expected results and impact. Projects should be short or medium-term</p>	10%
<p><b>Society/Government Priorities</b></p> <p>Assess the extent to which proposals focus on topics or issues that reflect the priorities and needs of users/beneficiaries, and rural communities in particular</p>	10%



Evaluation criteria	Weight Rated
<b>Participatory research</b> Assess the degree to which the proposals promote research/activities implemented jointly with the beneficiaries/communities in the development of the process. Participatory research makes communication of Easy research results and ensures that improved technologies/products are adopted and used	10%
<b>Alleviation of poverty and cross-cutting issues</b> Assess the degree to which the proposal integrates relevant cross-cutting issues, especially gender and environment in the activities and design of the proposal, as well as the projected impact of project outcomes on poverty	10%
<b>Scientific quality</b> Only high-quality, innovative and scientifically acceptable proposals should be approved. Technical support from qualified personnel to the project should be ensured	30%
<b>Sustainability</b> Evaluate the degree to which the proposals focus on improving the sustainability of production systems, use of natural resources, etc.	10%
<b>Interdisciplinary aspects and partnerships</b> Evaluate the degree to which the proposals integrate interdisciplinary aspects in the description of the research/project activities, composition of the research/technical team and choice of collaborating/partner institutions	5%
<b>Relevance for the Sector</b> Assess the degree to which the proposal is in line with the objectives of the governmental policy and local/zonal priorities with regard to national food security and households, among other objectives	5%
<b>Training and Training</b> Assess the degree to which the proposal includes improving skills through training, including producers/extension, testing on-farm, demonstrations and seminars, and the proposal should include training/training in national research institutions, where applicable	5%
<b>Cost/Benefit</b> Proposals should be viable in terms of expected results compared to costs. The budget must be well prepared according to the planned activities of the	5%
<b>TOTAL</b>	<b>100%</b>

Source: FNI (2015)

## SECTION 6 Awarding



### 6.1 Award administration

Once the SGC completes the application review process, the award phase begins. The final award decisions rest solely in the hands of the SGC, with fiduciary responsibility and legal authority to enter binding agreements. The SGC management team or executive reviews and makes award recommendations based on the programmatic and financial reviews of the applications by a panel of disciplinary experts. These recommendations should be reviewed by a series of levels in the agencies to ensure high-quality, fair and unbiased decisions.



## 6.1.1 Notice/letter of award and research contract

Once the final award decisions are made, a notice/letter of award and the research contract are sent to the individuals or entities selected for funding. These documents constitute the official, legally binding issuance of the award. When the supported institution accepts the grant (i.e., by signing the research contract or by drawing down funds), it becomes legally obligated to carry out the full terms and conditions of the grant. As an award recipient, the PI is also subject to the SGC's statutory and regulatory requirements and policies.

### 6.1.1.1 Research contracts (See Annexure 2)

A contract is a legally binding document that outlines the exchange of money or resources. Each party involved has to manage the legalities of contracts.

**Research contracts** are entered into to protect the interests of all sides and ensure that mutual trust develops between parties. Research contracts cover many situations and may include, but are not limited to, the following: memoranda of understanding, collaboration agreements, consortium agreements, service agreements, consultancy agreements, grants agreements, tenders, material transfer agreements and confidentiality agreements.

Contracts are entered into with a wide range of external bodies including industry, government departments, international entities, agencies, other universities and individuals.

**Who sets the terms and who signs?** Funders usually draft the funding contracts and outline the accountability and responsibility of each party.

**Contracts signed by individuals** – Some bursaries, fellowships and small research grants happen at a personal level, and in these cases individual researchers can sign the contracts.

**Contracts signed by institutions** – Larger grants require a designated representative from the research institution to sign the contract. This is usually a deputy vice chancellor, the director or dean of research, or the chief financial officer.

### 6.1.1.2 The basic elements of a typical research contract

- The signatories or parties to the contract are named.
- The legal capacity of the parties to act is noted.
- The street address of each party is noted.
- The grant made by the donor and its acceptance by the recipient(s) are recorded.
- The broad aims of the research project are stated. (A schedule can be attached as an addendum.)
- The timing, process and conditions related to the payment of funds are stated.
- The timing and frequency of reports from the recipient are noted.
- Intellectual property rights are allocated.
- Processes for amending the contract, and circumstances of further negotiation, are outlined.
- Processes relating to mediation between parties or the cancellation of the contract are described.
- The consent of the parties is denoted by the signatures of the individuals authorised to sign the contract. They and (usually two) witnesses initial each page and sign in full on the last page.
- Once signed, the contract is legally binding.

Template 15.

## Framework of a typical research grant contract

1. Agreed grant amount
2. Project objectives
3. Administering institution
4. Contacts
5. Availability of the grant
6. Amendments
7. Attachments

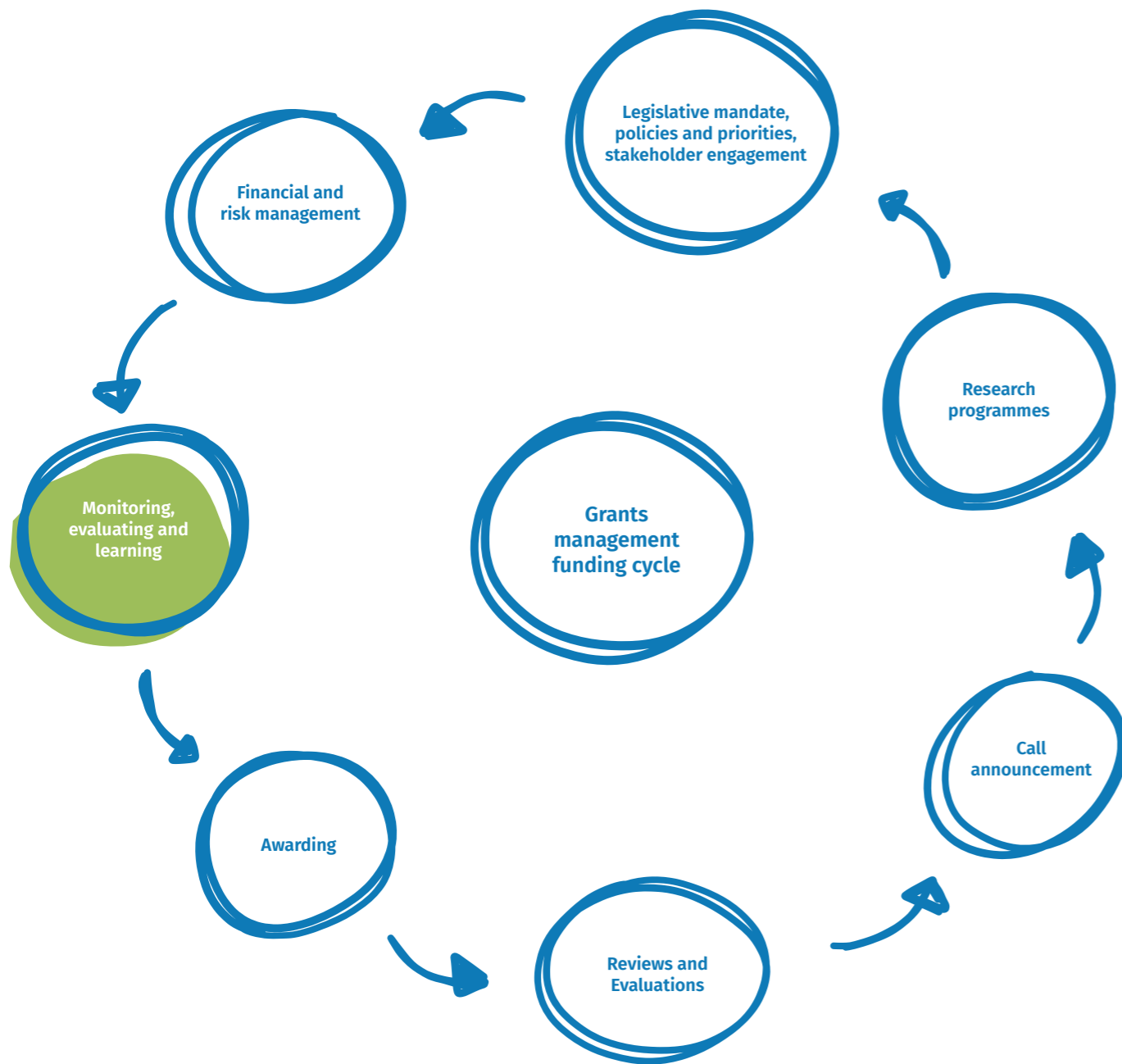
### Attachment A – Additional terms and conditions of the grant

- A1 Definitions
- A2 Disclaimer
- A3 Dissemination of results
- A4 Project budget
- A5 Grant administration
- A6 Payments and financial reports
- A7 Allowable expenses
- A8 Centre review and audit
- A9 Return of funds
- A10 Visit to project
- A11 Compliance with national laws
- A12 Interpretation of this agreement
- A13 Sub-contractors
- A14 Notices
- A15 Non-compliance
- Attachment B – Schedule of project milestones
- Attachment C – Project budget
- Attachment D – Banking information form

Source: Research Africa (2013)

## SECTION 7

# Monitoring, Evaluation and Learning (MEL)



A monitoring and evaluation system is a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships which enables an institution to discharge its M&E functions effectively.

## 7.1 Monitoring

- Monitoring involves collecting, analysing and reporting data on inputs, activities, outputs, outcomes and impacts, as well as external factors, in a way that supports effective management.
- It provides the institute and other stakeholders with regular feedback on progress in implementation and results and early indicators of problems that need to be corrected.
- It usually reports on actual performance against what was planned or expected.

### 7.1.1 Monitoring and evaluation business process

The M&E business process document will assist in the development of the M&E framework.

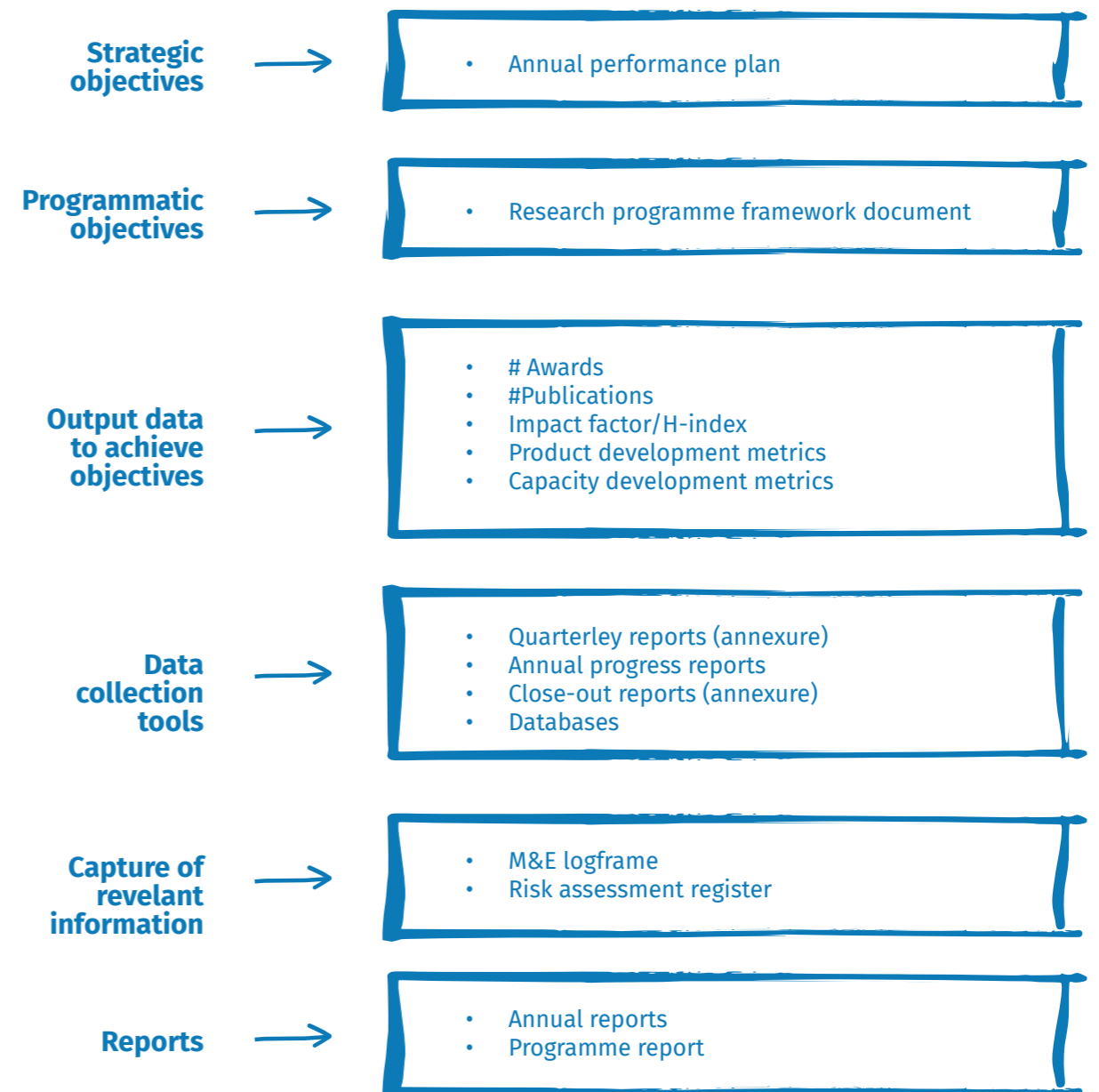


Figure 8. M&E business process

Source: Davids (2016), NIHSS

### 7.1.1.1 Capturing performance data per project

Template 17 is an example of how performance data can be captured. This information can be used to produce final programmatic performance data and reports.

Template 16.

### Capturing performance data

Performance criteria (Selected based on the SGC's strategic priorities)	Outcomes	Example (Extracted from monitoring and evaluation tools, i.e. progress reports)
Project leader/PI		Prof Ann Other
Institution		Springfield University
Gender		Female
Nationality/citizenship		American
Project title	This must be short and precise, conveying the general objectives of the proposed research.	Fostering research collaboration in the humanities
Project objectives/ outcomes	Must be SMART – specific, measurable, achievable, relevant and time-bound – to facilitate monitoring of the project. The specific objectives form a guide to the research methodology, data analysis and presentation of results.	<ol style="list-style-type: none"> <li>1. The creation of a virtual centre of coordination made up of deans from the five countries</li> <li>2. The fostering of joint research on agreed priority themes</li> <li>3. The fostering of joint degrees and the circulation of students</li> </ol>
Activities:	Report on activities as outlined in your approved proposal for the period covered by this report and describe any changes to them, including the reasons for such changes. Do include any additional activities undertaken that are not in your work plan, providing the background to their inclusion.	<ol style="list-style-type: none"> <li>1. Workshop for humanities and social science deans to foster collaboration among local universities</li> <li>2. Funding agencies workshop</li> <li>3. The fostering of joint degrees and the circulation of students</li> </ol>
Research outputs	Include books, journal articles, book chapters, conference papers and non traditional research outputs.	No conferences were attended during the reporting period No journal articles were published during the reporting period

Collaborations	List researchers working together to achieve the common goal of producing new scientific knowledge.	Name and surname	Internal/ external	Nature of collaborations/ partnerships
		Prof Tom Miller	University of Graz	Invited speaker “Fostering research collaboration workshop”
Milestones and progress to date	An important achievement in a project	Workshop held on 5 & 6 November Attended a funding agency workshop on 3–4 November		
Impact	What is the impact of the project? How has it contributed to the objectives of the project?	Relationships has been fostered to collaborative partners Collaborative publications is in progress		
Challenges	Report on any issues or problems that have had an impacted on the development and implementation of the project during the reporting period. Detail what impact any issues may have on the achievement of project targets, and set out how you plan to tackle these issues. Report on any unexpected project achievements.	Chinese and Russian representation was difficult to arrange, causing a time delay in research outcomes		
Mitigation	Report on the steps taken to reduce adverse effects over the project cycle during the reporting period	Future planning will be done in advance. Language barriers have to be addressed- French-speaking students were recruited to address challenges with Francophone African countries		
Budgetary information	In this section you should detail the expenditure of the project so far. Please attached a financial report that is signed and stamped by the department of finance.	Attached income and expenditure report		

Source: Davids (2016)

### 7.1.1.2 Developing a monitoring and evaluation logframe for reporting

A logframe is a tool for improving the planning, implementation, management, monitoring and evaluation of projects. The logframe is a way of structuring the main elements in a project and highlighting the logical linkages between them.

## Monitoring and evaluation logframe

Project/programme name			
OBJECTIVES (Mention objectives)	INDICATORS Indicators should be clearly measurable and apply solely to what is to be measured	MEANS OF VERIFICATION The location of those sources of data required by the indicators	ASSUMPTIONS The external factors which the evaluators believe may positively or negatively influence the events described by the narrative summary
<b>Goal</b> The overall project/ programme goal – the broader issue (i.e. at the national or sectoral level) that the project/programme seeks to contribute to – is defined.			
<b>Outcome 1</b> A localised result that the intervention seeks to achieve in support of the above goal. This statement should clarify what will be changed and who will benefit. Increase the number if high quality, relevant research is completed.	High quality, relevant research is completed	Citations, journal impact factor, rankings	Predatory journals, etc.
<b>Output 1.1 (List results, not activities)</b> Listed here are the observable, measurable changes and tangible products or services to be delivered by the intervention, which serve to achieve the above goal and purpose.	Number of peer-reviewed primary research papers made available in open-access format	Count of publications in ISI and IBSS journals Progress reports	Limited funding Page fees
<b>Output 1.2</b>	Number of seminars involving a panel of research experts discussing the latest research findings	Count of seminars Attendance registers Seminar reports Progress reports	Limited funding Conflicting schedules of participants
<b>Output 1.3</b>	Number of PhD and Masters students graduated	Count of PhD and Masters graduations Progress Reports Business Information Systems (BIS) data sources	Limited funding Long lead times

<b>Activities</b> Supporting activities: the main tasks that need to be completed in order for the output to be achieved Inputs/resources Activities may often be included in a separate document (activity schedule) for practical purposes	e.g. As per project plan	Costs & sources	Limited funding Page fees
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Source: Davids (2016)

### 7.1.1.3 Final report (close-out report – Annexure 4)

A project closure report is the final document that assesses the success of the project and also catalogues project deliverables and officially ends the project. The primary objective of a project closure report is to provide a complete picture of the successes and failures of a project. The project closure report should include all important project information that would help stakeholders, auditors, and future project managers clearly understand what was accomplished during the project and how the work was completed.

If applicable, it must be submitted three months after the completion of a research project funded by the SGC. This report is a comprehensive account of progress during the tenure of the grant, including a summary financial report (the latter not applicable to all programmes). The main purpose of the final report is to meet the SGC's reporting requirements and to assist in determining the standing of individual awardees.

### 7.2 Evaluation

The evaluation process is a time-bound and periodic exercise that seeks to provide credible and useful information to answer specific questions to guide decision making by staff, managers and policy-makers. It may assess the relevance, efficiency, effectiveness, impact and sustainability of the programme.

#### 7.2.1 Evaluation (individual research projects, team research projects/centre and SGC research programme)

- The evaluation takes place after a specific funding cycle.
- It is undertaken to assess performance over that period.
- The review is intended to inform the decision on whether the funding should be renewed (further investments), the impact of funding, upscaling, prototype development and research programme redesign

### 7.2.2 Documents required for evaluation

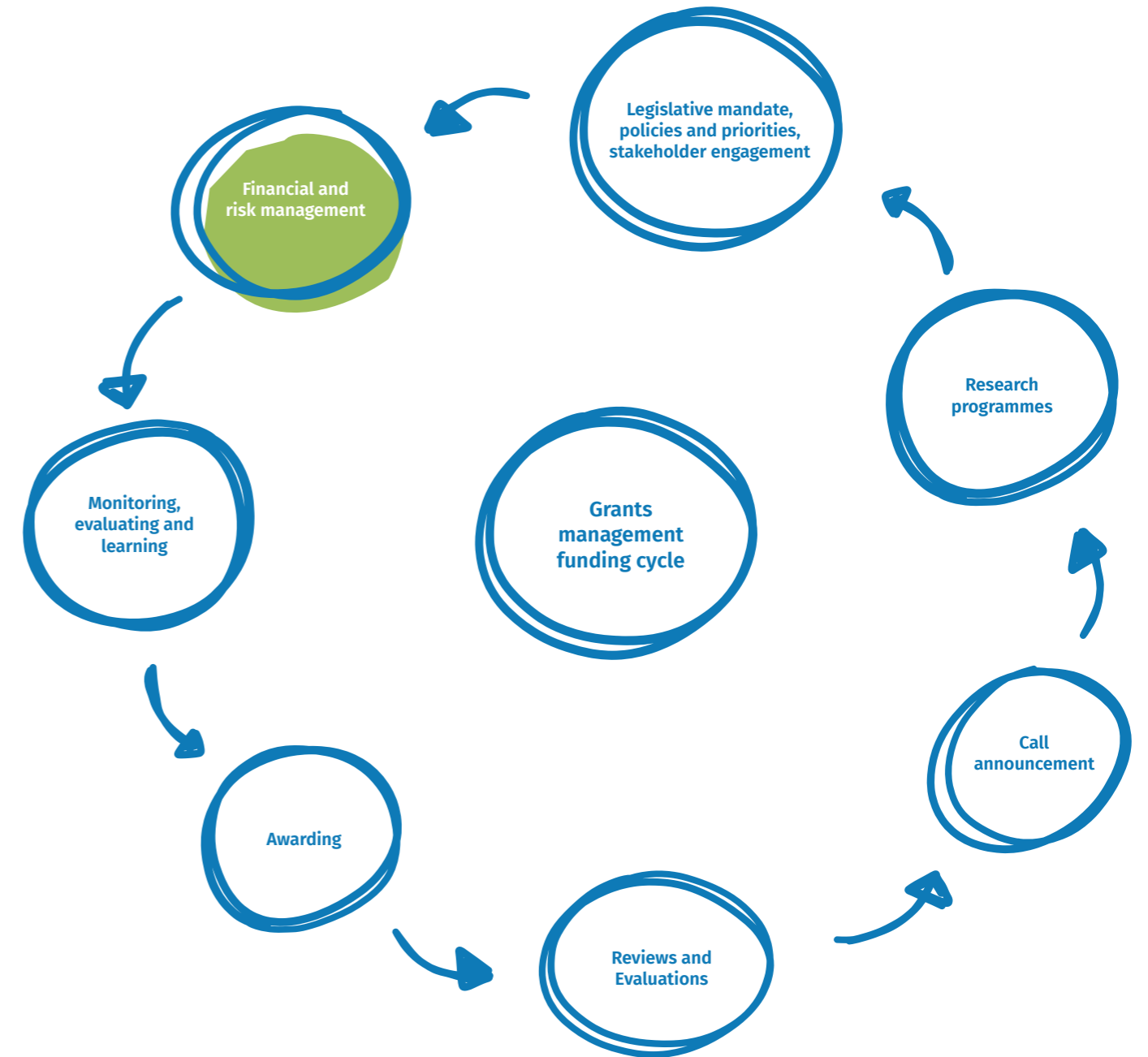
- Self-assessment report (against determined performance criteria)
- Postal review reports
- Support from the institution (head of department, institutional head responsible for research)

### 7.2.3 Evaluation process

- SGC develops terms of reference (ToR) for the review.
- Panel members are selected (experts in the field, agency representative, university representative).
- PI, participating members (staff), collaborators and students are interviewed.
- Panel compiles a preliminary report.
- PI and SGC respond to findings.
- Final report produced.
- Report published.

## SECTION 8

# Financial and Risk Management



Acceptance of a grant from the SGC creates a legal obligation on the part of the grantee to use the funds in accordance with the terms of the grant and to comply with the grant's provisions and conditions. The grantee thus assumes full responsibility for the conduct of project activities and becomes accountable for meeting prescribed accounting standards in the areas of financial management, internal controls, audit and reporting to the SGC.

Many methods exist for implementing financial management systems, and the organisation should choose methods appropriate for its particular scale of operations. If the grantee organisation is unable to meet the set standards, funding may be terminated and the organisation may be deemed ineligible to receive subsequent financial assistance or may be subjected to stricter oversight for future awards. Increased oversight might include requirements that payments be reimbursements or that documentation supporting project costs be submitted regularly.

Some standards to consider:

- Recipients must have accounting structures that provide accurate and complete information about all financial transactions related to each SGC-supported project. This includes both expenditures of grant funds and cost share expenses.
- Accounting records are to be maintained on a current basis and balanced monthly.
- Cost principles and the terms and conditions of the grant award shall be followed in determining whether costs are reasonable, allowable, and properly allocated.

### 8.1.1 Internal control standards

- Recipients must have written conflict of interest policies.
- Cash receipts should be recorded immediately and deposited daily.
- Someone other than the person who signs the cheques should reconcile bank accounts monthly.
- A petty cash fund should be entrusted to a single custodian and used for all payments other than those made by cheque or bank transfer.
- Cheques to vendors should be issued only in payment of approved invoices, and the supporting documents should be marked as “paid”.
- The person who is responsible for the physical custody of an asset should not also have responsibility for keeping the records related to that asset.
- The person who has authority for placing employees on the payroll and establishing wage rates should not be the same person who signs the checks.

### 8.1.2 Procurement standards

Government-prescribed standards apply.

### 8.1.3 Audit standards

Grantees are expected to maintain a state of audit readiness. This means that records pertinent to the financial and programmatic aspects of their grants must be readily accessible for audit. Failure to provide the auditor with reliable documentation could lead to questioned costs and possibly result in cost disallowances, requiring refunds to the SGC.

### 8.1.4 Subawards

Applicants may propose to grant some of the awarded funds to other recipients. If the application is approved, then the grantee is responsible for ensuring that subrecipients expend their awards in accordance with the laws, regulations and provisions of the underlying grant. The grantee must monitor the activities of subrecipients as necessary to ensure that the funds are used in accordance with the terms and conditions of the primary grant.

### 8.1.5 Non-allowable research costs

Certain costs will be deemed unallowable by the SGC. List all unallowable costs and cost exclusions in the research contract/agreement.

### 8.1.6 Cost recovery

Direct costs cannot be recovered from research grants. A limited percentage of direct costs may be recovered from research-related (consultancy) grants.

## 8.2 Risk management

As research and development (R&D) often involves substantial financial investment with limited oversight from financial backers, state regulators or even ethics bodies, the incentives and opportunities for corruption can be high. Research programmes in technical and highly specialised fields with complex organisational structures can increase the potential for corruption (Merkle, 2017).

### 8.2.1 Corruption risks in research funding

**Integrity risks – rigged research and undue influence:** Externally funded research can encounter multiple integrity risks, especially where public and/or private funders have a stake in the research findings. They may seek to exert undue influence over the research process.

**Biased research design:** Research grantors may seek to manipulate research designs and protocols, changing sample sizes or control groups to yield the desired outcomes.

**Misleading presentation of findings:** Research grantors may attempt to terminate, suppress or discredit research unfavourable to their interests, either by threatening to terminate funding, or by intimidating, coercing or paying off researchers.

**Ethical issues in medical trials:** Dissemination of trials and studies also gives room for misconduct, where studies are not published (in a timely manner) to hide negative findings or to allow for an incorrect presentation of results.

### 8.2.2 Bribery in approvals, grants and subsidies processes

Gaining access to research sites or data can also be a source of corruption. In some developing countries, government authorisation is required to conduct research, meaning that researchers or research organisations have to convince government gatekeepers (politicians, bureaucrats or even military officials) of the value of their work (Merkle, 2017). These approval processes can often be long and arduous, and there is a risk that bribes may be solicited in return for permission.



### 8.2.3 Fiduciary risks

**Embezzlement:** The embezzlement of research funds for personal expenses appears to be a widespread and recurring problem.

**Double funding:** Another fairly common financial irregularity is so-called double dipping or double funding, in which supported institutions receive, from different donors, double the funds actually needed for a given project.

**Personnel-related fraud:** Research organisations have also been known to fabricate “ghost” employees and beneficiaries to inflate the costs of project activities and embezzle the surplus funds. Other examples are the extortion of a share of salaries, the selling and buying of positions and promotions, bribes in the selection of training courses and the incorrect use of per diems.

**Procurement:** Research organisations may require specialist expertise or equipment from third parties to carry out their research. Interactions with these external suppliers of goods or services can offer another vector for corrupt practices, particularly during procurement processes. In highly technical areas with a limited number of bidders, the risk of collusion is higher, and evidence of kickback arrangements, or the duplication, inflation or fabrication of invoices for goods and services allegedly procured for a project, can often be found.

### 8.2.4 Mitigating corruption risks in research funding

Merkle (2017) is of the opinion that various mitigation strategies can be implemented to reduce corruption risks in research funding. These include codes of conduct, transparency and accountability mechanisms, and risk management frameworks.

#### (a) Research codes of conduct:

Codes of conduct for research are common at both national and institutional levels. These usually contain detailed guidance on overall research integrity and conflict of interest issues. Codes of conduct define appropriate and inappropriate behaviour, mitigation strategies and potential sanctions. Conflict of interest policies include clear instructions on how to prevent, document and disclose (potential) conflicts of interest, procedures for complaints about misconduct and clear points of contact.

#### (b) Accountability and transparency

The mismanagement of research funds is one of the most common corruption risks in research funding, and it is increasingly recognised that the establishment of accountability and transparency mechanisms are crucial.

#### (c) Risk management frameworks

Merkle (2017) indicates that corruption risk management is an ongoing task throughout the entire project cycle, and should be implemented throughout all phases of the project. A comprehensive corruption risk management framework should be developed, consisting of several steps (Merkle, 2017):

**Step 1:** The potential corruption risks need to be identified and the donor needs to determine the tolerable level of risk. This threshold will be the trigger for escalation or mitigation measures.

**Step 2:** The likelihood of the risk occurrence, as well as the potential impact if the risk is realised, needs to be determined. This can be done with the help of a risk matrix.

**Step 3:** Next, actual levels of risk need to be compared with the tolerable threshold to determine if corruption risk mitigation is necessary.

**Step 4:** Project officers should select the optimal mitigation tool based on a cost-effectiveness analysis.

#### (d) Anti-corruption measures in funding agreements

To ensure that corruption risk management is implemented throughout the supported institution and its projects, it is advisable to include anti-corruption provisions in any funding agreement between the organisation and donors. Analysing the existing anti-corruption measures in funding agreements of major international donors, Chêne (2010) identifies several areas that should be covered comprehensively:

- Explicit anti-corruption policies and internal integrity management systems
- Explicit assessment of corruption risk
- Management policies and practices
- Transparency, disclosure and access to information
- Methods for detecting fraud and corruption, such as:
  - Monitoring and supervision of projects
  - External audits of specific projects
  - Effective complaint mechanisms and whistleblowing protection
- Sanctions

## Annexure 1

# Researcher profile

This classification aims to articulate the various characteristics that researchers may have throughout their career. It provides a classification independent of a particular career path. It identifies characteristics typically required for highly diverse careers in education and research in the public and private sectors. The intention is to identify and support the research community – researchers, their employers (universities, research institutes and companies), funders and public authorities – and the career development of researchers.



### First stage/new researchers (up to PhD level)

- Carry out research under supervision.
- Have the ambition to develop knowledge of research methodologies and discipline.
- Have demonstrated a good understanding of a field of study.
- Have demonstrated the ability to produce data under supervision.
- Are capable of critical analysis, evaluation and synthesis of new and complex ideas.
- Are able to explain the outcome of research and the value thereof to research colleagues.



### Recognised/early career researchers (PhD holders or equivalent, but not yet fully independent)

- Have demonstrated a systematic understanding of a field of study and mastery of research associated with that field.
- Have demonstrated the ability to conceive, design, implement and adapt a substantial programme of research with integrity.
- Have made contributions through original research that extend the frontier of knowledge by developing a substantial body of work, innovation or application. This could merit national or international refereed publication or patent.
- Demonstrate critical analysis, evaluation and synthesis of new and complex ideas.
- Can communicate with their peers; are able to explain the outcome of their research and the value thereof to the research community.
- Take ownership of and manages their own career progression, set realistic and achievable career goals, identify and develop ways to improve employability.
- Co-author papers at workshops and conferences.



### Established researchers (researchers who have developed a level of independence)

- Have an established reputation based on research excellence in their field.
- Make a positive contribution to the development of knowledge, research and development through co-operations and collaborations.
- Identify research problems and opportunities within their areas of expertise; identify appropriate research methodologies and approaches.
- Conduct research independently which advances a research agenda.
- Can take the lead in executing collaborative research projects in cooperation with colleagues and project partners.
- Publish papers as lead author, organise workshops or conference sessions.



### Leading researchers (researchers leading in their research area or field)

- Have an international reputation based on research excellence in their field.
- Demonstrate critical judgment in the identification and execution of research activities.
- Make substantial contributions (breakthroughs) to their research fields or spanning multiple areas.
- Develop a strategic vision on the future of the A research field.
- Recognise the broader implications and applications of their research.
- Publish and present influential papers and books, serve on workshop and conference organising committees and deliver invited talks.

## Annexure 2

# Sample research contract

THIS AGREEMENT is effective this \_\_\_\_ day of \_\_\_\_\_, 20\_\_ by and between the \_\_\_\_\_, with an office at \_\_\_\_\_, (hereinafter "Recipient") and \_\_\_\_\_, with an office at \_\_\_\_\_, (hereinafter "Grantor").

WHEREAS, the parties desire to conduct certain research programmes of mutual interest to the parties; and WHEREAS, such research programmes may further the research objectives of Grantor in a manner consistent with its status as a \_\_\_\_\_ institution, and may derive benefits for both Recipient and Grantor through inventions, improvements or discoveries; NOW, THEREFORE, in consideration of the promises and mutual covenants herein contained, the parties hereto agree to the following:

### ARTICLE 1 – DEFINITIONS

As used herein, the following terms shall have the following meanings:

- 1.1 "Project" shall mean a project described in a fully executed Project Proposal.
- 1.2 "Project Proposal" shall mean a research proposal which is attached hereto and incorporated herein by reference.
- 1.3 "Contract Period" will be the period, beginning \_\_\_\_\_ 20\_\_ until \_\_\_\_\_ 20\_\_, renewable in accordance with the terms hereof, unless earlier terminated pursuant to this Agreement.
- 1.4 "Grantor Intellectual Property" shall mean individually and collectively all inventions, improvements or discoveries, whether or not patentable or copyrightable, which are conceived or made solely by one or more employees of Grantor in performance of the Project during the Contract Period.
- 1.5 "Joint Intellectual Property" shall mean individually and collectively all inventions, improvements and discoveries, whether or not patentable or copyrightable, which are conceived and reduced to practice jointly by one or more employees of each Party during the term of this Agreement.
- 1.6 "Recipient Intellectual Property" shall mean individually and collectively all inventions, improvements or discoveries, whether or not patentable or copyrightable, which are conceived or made solely by one or more employees of Recipient in performance of the Project during the Contract Period.

### ARTICLE 2 – RESEARCH WORK

- 2.1 Recipient shall perform each Project in accordance with the terms and conditions of this Agreement.
- 2.2 In the event that the applicable Project Director ceases to direct the associated Project and a mutually acceptable substitute is not found within 80 days of such cessation, either Recipient or Grantor shall have the option to terminate said Project.

### ARTICLE 3 – REPORTS AND CONFERENCES

- 3.1 Written programme reports describing the results of the applicable Project to date and information regarding the current status and future activities to be undertaken as part of such Project shall be provided by Recipient to Grantor as required by the applicable Project Proposal, provided that such reports shall in no event be delivered less frequently than quarterly.
- 3.2 During the term of this Agreement, representatives of Recipient may meet with representatives of Grantor at times and places mutually agreed upon to discuss the progress and results as well as ongoing plans, or changes therein, of each Project.
- 3.3 During the term of this Agreement, Recipient agrees to permit representatives of Grantor to examine at any reasonable time during normal business hours
  - (i) the facilities where the Project is being conducted,
  - (ii) associated raw research data, and
  - (iii) any other relevant information (and to make copies) necessary for the Grantor to confirm that such Projects are being conducted in conformance with the applicable Project Proposal and in compliance with applicable laws and regulations.

### ARTICLE 4 – COSTS, BILLINGS AND OTHER SUPPORT

- 4.1 It is agreed that total costs to Grantor for any Project hereunder shall not exceed the sum set forth in the applicable Project Proposal. Payment shall be made by Grantor within thirty (30) days of receipt of monthly invoices for actual charges incurred by the Recipient in performance of the applicable Project provided that Recipient is not in breach of this Agreement.
- 4.2 Recipient shall retain title to any equipment necessary for the conduct of a Project, purchased pursuant to a signed Project Proposal with funds provided by Grantor under this Agreement.
- 4.3 In the event of early termination of this Agreement by Grantor pursuant to this Agreement other than for breach of this Agreement, Grantor shall pay all costs accrued by Recipient as of the date of termination, including but not limited to reasonable non-cancellable obligations incurred prior to the effective date of termination made pursuant to a fully executed Project Proposal. Project Proposal shall set forth a budget for travel and other out-of-pocket expenses to be incurred pursuant to the applicable Project.

### ARTICLE 5 – PUBLICITY

Grantor will not use the name of Recipient, nor of any member of Recipient's Project staff, in any publicity, marketing, advertising or news release without the prior written approval of an authorised representative of Recipient. Recipient will not use the name of Grantor, nor any employee of Grantor, in any publicity, advertising or news release without the prior written approval of Grantor. Nothing herein shall restrict the Recipient's or Grantor's right to disclose the existence of this Agreement, the identity of the parties, and the nature and scope of the Project.

### ARTICLE 6 – PUBLICATIONS

Grantor recognises that the results of a Project achieved by Recipient may be publishable and agrees that researchers at Recipient engaged in the Project shall be permitted to present at symposia, national, or regional professional meetings, and to publish in journals, or otherwise of their own choosing, methods and results of such Project, provided, however, that Grantor shall have been furnished copies of any proposed publication or presentation at least one month in advance of the submission of such proposed publication or presentation to a journal, editor or other third party. Grantor shall have one month after receipt of said copies, to object to such proposed presentation or proposed publication because there is patentable subject matter which needs protection or there is proprietary confidential information of Grantor in such publication or presentation. In the event that Grantor makes such objection, said researcher(s) shall refrain from making such publication or presentation for a maximum of four months from date of receipt of such objection in order for Recipient to file patent application(s) directed to the patentable subject matter contained in the proposed publication or presentation. It is understood that the Grantor may wish to be credited in the publication or publish with the Recipient, as it is appropriate. No such publication shall contain any confidential information of Grantor, or any results of any Project obtained by Grantor other than from the Recipient.

### ARTICLE 7 – INTELLECTUAL PROPERTY

- 7.1 Inventorship shall be determined under \_\_\_\_\_ patent laws.
- 7.2 All rights and title to Recipient Intellectual Property created pursuant to the Project shall belong to Recipient and shall be subject to the terms and conditions of this Agreement.
- 7.3 All rights and title to Joint Intellectual Property created pursuant to a Project shall belong jointly to Grantor and Recipient and shall be subject to the terms and conditions of this Agreement.
- 7.4 Rights to inventions, improvements and discoveries, whether or not patentable or copyrightable, relating to a Project made solely by employees of Grantor shall belong to Grantor. Such inventions, improvements and discoveries shall not be subject to the terms and conditions of this Agreement.
- 7.5 Recipient will promptly notify Grantor of any Recipient Intellectual Property. If Grantor directs Recipient to file a patent application hereunder or desires to maintain its right to exercise either option (a) or (b) of Section 8.2 below, Grantor shall retain an independent law firm reasonably acceptable to Recipient to promptly prepare, file and prosecute such patent applications in Recipient's name and shall bear all costs incurred in connection with such preparation, filing, prosecution and maintenance of patent application(s) for as long as Grantor retains or exercises its option rights under Section 8. Grantor and Recipient shall cooperate to assure that such application(s) will cover, to the best of Grantor's knowledge, all items of commercial interest and importance. While Grantor shall be responsible for making the day to day decisions regarding the prosecution of such patent applications, the parties must mutually agree on all material decisions regarding the scope and content of application(s) to be filed and prosecution thereof. Grantor shall promptly supply to Recipient, at Recipient's request, copies of all papers received and filed in connection with the prosecution thereof in sufficient time for Recipient to comment thereon.
- 7.6 Each party will promptly notify the other when Joint Intellectual Property is created. Grantor shall have the right, at its option and expense, and through patent attorneys or agents of its choice, to make all decisions with respect to, and to otherwise control the preparation, filing and prosecution (including any proceedings relating to reissues, reexaminations, protests, interferences, and requests for patent extensions or supplementary protection certificates) of any patent application with respect to any Joint Intellectual Property and to maintain any patents issuing therefrom.
- 7.7 Grantor shall ensure that patent attorneys or agents are able and agree not to take any action which would discriminate in favour of Grantor's interest in Recipient Intellectual Property or Joint Intellectual Property to the detriment of Recipient's interests in Recipient Intellectual Property and Joint Intellectual Property in all patent decisions and actions taken pursuant to sections 7.5 and 7.6 above. Grantor shall not retain patent attorneys or agents if such representatives pose a conflict of interest with respect to the Recipient's rights in Recipient Intellectual Property and Joint Intellectual Property.
- 7.8 If Grantor elects not to exercise its option as described in Section 8.2 below or either party decides to discontinue or refrain from providing the financial support for the prosecution or maintenance of patents or patent applications claiming Recipient Intellectual Property or Joint Intellectual Property, such party shall be deemed to have irrevocably assigned its rights in such patents and patent applications to the other party and such other party shall be free to file or continue prosecution or maintain any such application(s) and to maintain any protection issuing thereon in the \_\_\_\_\_ (country) and in any foreign country at such other party's sole expense and all rights in the applicable patent or patent applications shall be transferred to such other party.

### ARTICLE 8 – GRANT OF RIGHTS

- 8.1 Recipient hereby grants Grantor a royalty-free, non-exclusive license to use Recipient Intellectual Property within its own organisation.
- 8.2 Recipient hereby grants to Grantor, an exclusive option at Grantor's sole election, to negotiate for either (a) a non-exclusive, royalty-bearing licence to use Recipient Intellectual Property for any purpose, or (b) an exclusive royalty-bearing licence with a right to sublicense to Recipient Intellectual Property or (c) an exclusive licence to Recipient's interest in any Joint Intellectual Property. Terms and conditions of these licences are to be negotiated in good faith and agreed upon between Recipient and Grantor. Grantor shall notify Recipient by written notice within 180 days of (I) receiving Recipient's written notice of the generation of a Recipient Intellectual Property, or (II) in the case of Joint Intellectual Property, agreement of the parties as to the generation of Joint Intellectual Property, whether Grantor elects to exercise the Option. If Grantor either (i) elects not to exercise its option or (ii) fails to provide written notice within such 180 day period, then Grantor shall automatically be deemed to have relinquished any rights it may have to any licence described in this Section. If Grantor provides Recipient written notice of its exercise of the Option, the parties shall exclusively negotiate in good faith, for a period of 180 days, a licence to the applicable Recipient Intellectual Property or Joint Intellectual Property on terms consistent with the terms of this paragraph. If, after good faith negotiations, no agreement is reached by the parties within such 180 day period, Recipient shall be free to enter into a licence with any third party for any Recipient Intellectual Property subject to Grantor's use right in Section 8.1 and to license its rights in such Joint Intellectual Property.
- 8.3 In the event that Grantor acquires an exclusive licence or right under subsection 8.2 of this Article, the Recipient will retain the right to continue to use any Recipient Intellectual Property and Joint Intellectual Property within the Recipient for research purposes.

**ARTICLE 9 – CONFIDENTIALITY AND PUBLICITY**

9.1 During discussions leading up to this Agreement, and during the course of performing the Project, it is anticipated that Recipient and Grantor will learn confidential and/or proprietary information of the other. Parties will keep confidential, and not use, except in connection with the performance of the Grantored research hereunder, any information which is provided in writing and marked as confidential by either party, or if disclosed orally, described in a writing within 30 days after disclosure, including without limitation any information which relates to Grantored research to be performed under this Agreement, any information which either party may acquire with respect to the other party's business, and any information relating to new products, customers, pricing, know-how, processes, and practices ("Confidential Information"). The obligations of confidentiality and non-use of Confidential Information shall survive the termination or expiration of this Agreement for a period of five years, unless or until:

- (a) such information shall become known to third parties or shall become publicly known through no fault of Recipient, or
- (b) such information was already in a party's possession, as evidenced by written documentation prior to the disclosure of such information to the informing party, or
- (c) such information shall be subsequently disclosed to either party on a non-confidential basis by a third party who, to the best of the receiving party's knowledge, is not under any obligation of confidentiality.
- (d) such information is specifically authorised by the informing party, in writing, to be disclosed.
- (e) such information is required to be disclosed by applicable law or order of a court of competent jurisdiction in which case the disclosing party agrees to notify the other party of such requirement so that party may take steps to narrow or avoid disclosure.

**ARTICLE 10 – TERM AND TERMINATION**

10.1 This Agreement shall become effective upon the date first written above and shall continue in effect for the full duration of the Contract Period. Thereafter, the term of this Agreement shall automatically renew for successive one year periods unless either party provides prior written notice to the other party of its desire not to renew the term hereof, which notice must be given at least 60 days prior to the then current term of this Agreement. Company may terminate this Agreement or any Project upon 60 days prior written notice at any time within the contract period.

10.2 In the event that either party commits any breach of or default in any of the terms or conditions of this Agreement, and fails to remedy such default or breach within thirty days after receipt of written notice thereof from the other party, the party giving notice may, at its option and in addition to any other remedies which it may have at law or in equity, terminate this Agreement by sending notice of termination in writing to the other party. Such termination shall be effective as of the date of the receipt of such notice.

10.3 No termination of this Agreement, however effectuated, shall release the parties from their rights and obligations accrued prior to the effective date of termination.

10.4 Upon termination of this Agreement or any Project, other than for breach of the terms hereof,, Grantor shall reimburse Recipient for any amounts Grantor is otherwise obligated to provide Recipient under the terms hereof, for work on each terminated Project performed by Recipient up to the effective date of termination and for non-cancellable pre-paid expenses reasonably incurred by Recipient in anticipation of its work on each Project.

**ARTICLE 11 – INDEPENDENT CONTRACTOR**

11.1 Recipient shall be deemed to be and shall be an independent contractor and as such Recipient shall not be entitled to any benefits applicable to employees of Grantor.

11.2 The parties acknowledges that neither of their employees are employees of the other party and that employees of one party are not eligible to participate in any employee benefit plans of the other party. The parties further acknowledge that neither party nor any of its employees are eligible to participate in any such benefit plans even if it is later determined that any of its employees' status during the period of this Agreement was that of an employee of the other party. In addition, the parties waive any claims that they may have under the terms of any such benefit plans or under any law for participation in or benefits under any of the other party's benefit plans.

11.3 Neither party is authorised or empowered to act as agent for the other for any purpose and shall not on behalf of the other enter into any contract, warranty or representation as to any matter. Neither shall be bound by the acts or conduct of the other.

**ARTICLE 12 – INSURANCE AND INDEMNIFICATION**

12.1 Recipient warrants and represents that Recipient has adequate liability insurance in amounts not less than \_\_\_\_\_ and workers compensation insurance of statutory levels, such protection being applicable to officers, employees and agents while acting within the scope of their employment by Recipient. Recipient has no liability insurance policy as such that can extend protection to any other person.

12.2 Each party hereby assumes any and all risks of personal injury and property damage attributable to the negligent acts or omissions of that party and the officers, employees, and agents thereof.

**ARTICLE 13 – GOVERNING LAW**

This Agreement shall be governed and construed in accordance with the laws of \_\_\_\_\_ and shall be constructed under the laws of \_\_\_\_\_.

**ARTICLE 14 – ASSIGNMENT**

14.1 Except as provided in Article 14.2, this Agreement shall not be assigned by either party without the prior written consent of the parties hereto.

14.2 This Agreement is not assignable by either party to this Agreement

**ARTICLE 15 – AGREEMENT MODIFICATION**

Any agreement to change the terms of this Agreement in any way shall be valid only if the change is made in writing and approved by mutual agreement of authorised representatives of the parties hereto.

**ARTICLE 16 – NOTICES**

Notices hereunder shall be deemed made if given by registered or certified mail, postage prepaid, and addressed to the party to receive such notice at the address given below, or such other address as may hereafter be designated by notice in writing.

If to Grantor:

With a copy to:

If to Recipient:

With a copy to:

**ARTICLE 17 – COUNTERPARTS AND HEADINGS**

This Agreement may be executed in any number of counterparts, each of which shall be deemed to be an original and all of which together shall be deemed to be one and the same instrument. All headings in this Agreement are inserted for convenience of reference only and shall not affect its meaning or interpretation.

IN WITNESS WHEREOF, the parties hereto have caused this Agreement to be executed by their duly authorised representatives as of the date first above written.

Grantor \_\_\_\_\_

By \_\_\_\_\_

Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Recipient \_\_\_\_\_

By \_\_\_\_\_

Typed Name \_\_\_\_\_

Title \_\_\_\_\_

Source: Ten3 Business e-Coach. (n.d.)

## Annexure 3

# Progress report template

<b>Project number:</b>	As mentioned in the LOA (letter of award)
<b>Project name:</b>	
<b>Project period:</b>	(e.g., 1 June 2014 – 31 October 2017)
<b>Reporting period:</b>	(e.g., 1 June 2014 – 31 October 2015)
<b>Report submission date:</b>	

### Section one: Summary

#### Activities:

Report on activities as outlined in your approved proposal for the period covered by this report and describe any changes to them, including the reasons for such changes. Do include any additional activities undertaken that are not in your work plan, providing the background to their inclusion.

1. Workshop for humanities and social science deans to foster collaboration among local universities
2. Funding agencies workshop
3. The fostering of joint degrees and the circulation of students

### Section two: Activities and progress

Report on activities as outlined in your approved proposal for the period covered by this report and describe any changes to them, including the reasons for such changes. Do include any additional activities undertaken that are not in your work plan, providing the background to their inclusion.

#### 2.1 Performance against planned activities extracted from the work plan

Activities	Dates of achievement	Expected results	Results achieved
1			
2			
3			
4			

#### 2.2 Activities not carried out or partially carried out

Activities	Dates of achievement	Non-achievement factors	
		Expected results	Results achieved
1			
2			
3			
4			

### Section three: Outputs and deliverables

Describe any preliminary results, outputs or deliverables for this project (e.g. presentations, studies, papers). Please describe, provide URLs or attach documents, etc. If no preliminary results are available, state why: e.g., "The first period of data collection has only recently been completed and data analysis has not yet begun."

### Section four: Evaluation

Provide a brief (4 or 5 sentences) assessment of how you feel your overall project is progressing in terms of accomplishing your objectives and adhering to your overall timeline.

### Section five: Administration/management aspects

Briefly discuss administration and management issues that have arisen, including the timely availability of funds, other changes in budget expenses and the schedule of activities. Changes in the budget should be justified. If the project timeline has changed, include the readjusted timeline with a brief justification.

### Section six: Risks, issues and challenges

Report on any issues or problems that have had an impact on the development and implementation of the project during the reporting period. Detail what impact any issues may have on the achievement of project targets, and set out how you plan to tackle these issues. Report on any unexpected project achievements.

### Section seven: Collaboration

Do you have any collaborations with any parties in running the project tasks? If any, please list them and what type of collaborations you have.

### Section eight: Financial statement

In this section you should detail the expenditure of the project so far. Please attached a financial report that is signed and stamped by the department of finance.

### Section nine: Next steps

In this section you should very briefly list activities planned and other information of relevance for the next stage of the project.

### Section eleven: List of equipment

In this section you should list the main equipment and systems that were purchased out of the budget of this project. Please include the name, purpose and model of each item.

**PI name:**

**Signature and date:**

Source: FNI (2015)



## Annexure 4

# Project closure report

1. General Information	
1.1 PI details	Title, name, institution
1.2 Project closure report for	Project title
1.3 Date of project closure report	Month day year
1.4 Distribution list	Project sponsor, project team, resource owners
1.5 Attachments	Project charter, Project closure checklist, Lessons learned summary, online reference links, other relevant project docs
2. Project background overview/project definition	
2.1 Project overview	Give a brief summary of the project outlining the planned objectives.
2.2 Project dates	Dates from project initiation to completion; enter major milestone dates such as design completion and product release.
2.3 Project organisation	List all project participants including project team members and sponsors (and their roles in the project). Also include the staff release dates (if applicable).
3. Project performance and outcome	
3.1 Was the project successful?	
3.2 Compare the final project outcome with the planned project goal and objectives.	Describe the success of the project in terms of achieving its intended objective and outputs. Were deliverables delivered on time and with customer acceptance?
3.3 List any project deviations (in terms of scope, time resources, cost, delays) and reasons for deviations.	
3.4 Were the quality objectives met (if applicable)?	
3.5 List project models, methods, tools or processes used.	
4. Project experiences/observations	
4.1 Were there any unexpected impacts (positive or negative)?	Describe unexpected impacts, positive or negative
4.2 Describe experience with the project management methods and tools	

5. Unrealised/outstanding outputs	
5.1 List outstanding items.	Identify any remaining/outstanding items impacting project completion/closure (e.g. training)
5.2 Actions points required (on the outstanding items)	Identify actions items, due dates and responsibilities for above
5.3 Were any outputs unrealised? If so, how has this affected the overall impact of the project?	List items that will not be implemented within the project, that may have been cancelled or deferred to subsequent or other projects.
6. Improvement recommendations and comments	
6.1 Suggestions for Improvements	List suggestions for improvements for processes, methods, tools, cooperation, reporting etc.
7. Other Comments	
7.1 Closing remarks	List closing remarks.



## Annexure 5

# Grants management structure

A well-designed structure with mature grants processes is important for reducing the administrative burden. It effectively maximises grant funding and ensures the efficient management of grants. The box below illustrates a basic research grants management office structure to advance these goals

Within this structure programme staff write the programme frameworks, which are aligned to national imperatives. The grants management office is responsible for grants management, and the finance department implements financial policies and manages all research budgeting and accounting responsibilities, the carrying forward of unspent funds and financial audits.

PROGRAMME	GRANTS MANAGEMENT OFFICE	FINANCE
Programme/funding instrument framework documents, Application development and decisions on available budget	Call announcement	
	Receipt of applications and application registration	
	Application screening for eligibility	
Application review		
Senior management approval	Notice of award and contracts	Budget preparation
	Award acceptance and tracking	
Programmatic/outcome reporting	Progress reports	Expenditure tracking and draw-down
Funder stewardship		Financial reporting
	Award close-out	Financial close-out

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