



Republic of Zambia

**MINISTRY OF HIGHER EDUCATION**

# **Guidelines**

for the

# **Strategic Research Fund (SRF)**

**2015 Edition**

**IMPLEMENTING AGENCY:  
NATIONAL SCIENCE AND TECHNOLOGY COUNCIL (NSTC)**



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## ACRONYMS

<b>C B U</b>	Copperbelt University
<b>CVRI</b>	Central Veterinary Research Institute
<b>EIZ</b>	Engineering Institution of Zambia
<b>EPR</b>	End of Project Report
<b>FMC</b>	Fund Management Committee
<b>I C T</b>	Information and Communication Technology
<b>IHL</b>	Institution of Higher Learning
<b>IPR</b>	Intellectual Property Rights
<b>M&amp;E</b>	Monitoring and Evaluation
<b>MESVTEE</b>	Ministry of Education, Science, Vocational Training and Early Education
<b>NISIR</b>	National Institute for Scientific and Industrial Research
<b>NTBC</b>	National Technology Business Centre
<b>NSTC</b>	National Science and Technology Council
<b>OAR</b>	Outcome Assessment Report
<b>PACRA</b>	Patents and Companies Registration Agency
<b>PAR</b>	Progress Assessment Report
<b>PI</b>	Principal Investigator
<b>PMF</b>	Project Management Fee
<b>PR</b>	Progress Report
<b>R &amp; D</b>	Research and Development
<b>RA</b>	Research Agreement
<b>STI</b>	Science, Technology and Innovation
<b>SRF</b>	Strategic Research Fund
<b>TC</b>	Technical Committee
<b>TDAU</b>	Technical Development Advisory Unit
<b>U N Z A</b>	University of Zambia
<b>ZABS</b>	Zambia Bureau of Standards
<b>Z A R I</b>	Zambia Agriculture Research Institute
<b>ZEMA</b>	Zambia Environmental Management Agency

## **CHAPTER 1.0 INTRODUCTION TO THE STRATEGIC RESEARCH FUND**

### **1.1 Background**

Science, technology and innovation (STI) are critical in the sustainable development of any country. Generally, STI in Zambia has not been able to contribute significantly to national development due to a number of challenges faced.

One of the areas of STI facing major challenges and where Zambia has relatively lagged behind is the Research and Development (R&D) system. Generally, there has been inadequate funding for research and development, and lack of infrastructure and equipment to support R&D in the country.

Most STI research has been conducted on a small scale, fragmented in various R&D centres/institutions and by individual researchers. As such, little impact has resulted out of these research activities. In addition, few Intellectual Property Rights (IPR) have come out of research activities.

The Government acknowledges that allowing this *status quo* to continue would be detrimental to national economic growth.

Accordingly, the Government established the Strategic Research Fund (SRF) in 2007 to support basic and applied research in strategic areas of national priority. The Fund is administered by the National Science and Technology Council (NSTC)

The SRF targets R&D centres/institutions and individuals. SRF supported research that has commercial potential, may be considered for further development and commercialisation by the National Technology Business Centre (NTBC).

### **1.2 Rationale**

Inadequate funding for R&D infrastructure and operations, coupled with ineffective coordination, has resulted in limited contribution of STI to national socio-economic development.

### **1.3 Objectives**

The overall objective of the SRF is to support basic and applied R&D in identified strategic priority areas.

The specific objectives are:

- i. To increase the number of publications and IP coming out of research activities
- ii. To fund research and development in identified strategic priority areas
- iii. To improve research infrastructure and equipment in R&D Institutions
- iv. To enhance technical and scientific human resource capacity in R&D institutions
- v. To enhance collaboration among R&D institutions
- vi. To support dissemination of research results

## CHAPTER 2: IMPLEMENTATION OF THE FUND

The SRF focuses on seven research thematic areas namely:

- I. **Industry** e.g.
  - Material science,
  - Design and Manufacturing,
  - Value addition technologies
- II. **Energy** e.g.
  - Alternative energy technologies
- III. **Agriculture** e.g.
  - Value addition technologies,
  - Plant and animal diseases,
  - Crops and animal productivity,
  - Water management and irrigation,
  - Soil management.
- IV. **Health** e.g.
  - Communicable and non-communicable diseases,
  - Maternal diseases,
  - Nutritional diseases.
- V. **Environment** e.g.
  - Water and sanitation,
  - Waste management,
  - Deforestation and desertification,
  - Climate change mitigation and adaptation.
- VI. **Information and Communication Technology** e.g.
  - Software development,
  - Bioinformatics,
  - Cyber security.
- VII. **Social Sciences** e.g.
  - Social and economic studies.
  - policy studies in STI
  - Gender in STI

### 2.2 Categories of Research

Research is classified into two categories namely; Targeted/Directed Research and Open Research.



### 2.2.1 Targeted/Directed Research

Targeted/Directed Research is a solicitation for investigation into a defined research topic of national strategic importance.

. Researchers are invited to bid for funding to find solutions through research to the identified strategic problem.

The Targeted/Directed research can also include the following:

- I. **Emergency Research:** The country may experience disasters or some emergencies that require special funding to facilitate specialised research. Subject to availability of funds, the SRF shall make available resources for such activities.
- II. **Collaborative research** This is research conducted and/or funded jointly with bilateral and/or international cooperating partners. In this instance, the identification of priority research areas is mutually agreed between the Government and the cooperating partner(s).

### 2.2.2 Open Research

#### I. **Individual Generated Research**

Individual Researchers can generate their own research proposals in any of the research clusters in 2.1 and apply for research funding.

- III. **Post-graduate Research:** The SRF can support postgraduate research at local universities and other institutions of higher learning, restricted to science and technology fields.

The support is up to a maximum of Forty Thousand Kwacha (K40,000.00) for Masters Degree programmes and Eighty Thousand Kwacha (K80,000.00) for PhD programmes. The support is strictly for field and/or laboratory research work.

## 2.3 Eligibility to access the SRF grants

In order to access the SRF funding, an institution must be registered with NSTC and individuals wishing to access SRF funding shall be required to be affiliated to an NSTC-registered institution.

Collaborative research among institutions is strongly encouraged

## **2.4 Scope of Funding**

### **2.4.1 Funding Ceiling**

The funding is up to a maximum of Eight Hundred Thousand Kwacha (ZMW 800,000.00) per proposal. However, for viable projects that need additional funding, special consideration may be made to increase the funding.

### **2.4.2 Eligible Expenses**

The funding can be utilised for the following:

#### **2.4.2.1 Research Materials and Supplies**

Only expenses for research materials and supplies directly related to the project should be included.

#### **2.4.2.2 Purchase of R&D Equipment and Accessories**

Special equipment and accessories directly related to the project may be purchased.

Funding for equipment and accessories shall be up to a maximum of 40% of the total project budget. With special consideration, purchase of equipment at a cost above 40% may be allowed.

#### **2.4.2.3 Infrastructure Improvement**

- I. Only expenses for minor repairs and maintenance of the building, equipment or any other item directly related to the project may be funded under SRF. Not more than 10% of the total project budget shall be used for this purpose.
- II. Where the cost indicated in 2.4.2.3 (I) is more than the allowable expenditure, special consideration, maintenance of equipment at a cost above 10% may be allowed.

#### **2.4.2.4 International Travel and Transportation**

Travel and transportation expenses for international trips, which are directly related to the project shall be subject to government conditions of travel and transportation.

**2.4.2.5 Local Travel and Transportation**

Travel and transportation expenses for local trips, which are directly related to the project, shall be based on the conditions of the institution of affiliation.

**2.4.2.6 Allowances for Personnel**

The following allowances shall be eligible

- i. Subsistence allowance
- ii. Out of pocket
- iii. Missing lunch

Any other allowances and project-based salaries shall be borne by the institution of affiliation. .

Allowances will be based on the rates of the institution of affiliation.

**2.4.2.7 Special Services**

These are expenses for special services directly related to the project (such as consultancy, payment for enumerators, analytical services and data processing). Engagement of foreign expert(s) will be considered on a case-by-case basis.

**2.4.2.8 Human Resource Development**

Expenses to build capacity to conduct research as a way of improving the overall quality of conducting research in the proposed project will be considered such as scientific visits, attachments, study tours, exchange visits.

**2.4.2.9 Facilitate the establishment of centres of excellence and networks**

The allocation and approval of projects will be done in such a way as to facilitate establishment of centres of excellence in selected research disciplines. Procurement of advanced equipment and development of new infrastructure will be based upon the recommendation from the technical Committee in order to create synergies and avoid duplication in such centres.

**2.4.2.10 Administrative cost**

5% of the total project budget will be used for administrative expenses by the Institution of affiliation.

## **2.5 Variation**

**Change of Scope of Work and/or Budget:** The Recipient shall not make any variation to the scope of work and/or the budget of the Project as described in the **Approved Project Proposal** without obtaining prior written approval from NSTC.

## **2.6 Project Duration**

The duration for research projects shall be up to a maximum of 2 consecutive years. However, special consideration may be made for projects that may need more time.

## **2.7 No-cost Project Extension**

Requests for project extensions shall be made to the SRF Secretariat for approval.

Under normal circumstances, requests for extensions shall not exceed more than six months after the originally proposed project completion date. Only under extenuating circumstances shall projects be granted additional extensions.

## **2.8 Research Agreement**

All funded projects shall be conducted in accordance with the terms and conditions outlined in a Research Agreement (RA) (Appendix III). The RA will be signed between NSTC, the Grant Recipient and the Head of the Institution of Affiliation. The Head of institution shall be required to sign the RA within 10 working days upon acceptance of the approved project.

The RA outlines the terms of agreement such as the scope of work, sharing of Intellectual Property Rights (IPR), and termination of contract.

## **2.9 Ownership and Use of R&D Equipment**

Before the end of the Project, all R&D equipment purchased under the Project will belong to the Government and the project shall bear the maintenance costs.

After the Project is completed, all R&D equipment purchased under the Project will belong to the Principal Investigator's Institution of

Affiliation. The maintenance of such equipment shall then be borne by the Institution of Affiliation.

## **2.10 Intellectual Property Rights**

Ownership and management of Intellectual Property Rights (IPR), royalties and any other form of fees resulting from technology transfer, licensing of technology or any other form of commercialisation, shall be governed in accordance with the terms and conditions outlined in the Research Agreement. The ownership of results will lie with Government and the details of the management of the IPR will be given in the Research Agreement.

## **2.11 Publications**

Where applicable, researchers will be required to file for provisional protection for IPR before proceeding to publish their research findings. For any publication of research results, locally as well as internationally, researchers must obtain prior approval from the Institution of Affiliation and NSTC and. Researchers must publish at least one technical research paper in refereed journals and a copy of all publications shall be submitted to NSTC.

Researchers must indicate and acknowledge the sources of funding for the project and the contribution of the various entities.

## CHAPTER 3: APPLICATION, EVALUATION AND SELECTION

### 3.1 Application Process

- A call for research proposals will be advertised in the public print media. The call will also be made available in R&D institutions, institutions of higher learning and on the NSTC website (<http://www.nstc.org.zm>).
- Applicants shall submit research proposals by completing a **Prescribed Application Form** available on the NSTC website and obtainable from NSTC offices.
- Applications shall be submitted either electronically ([nstc@nstc.org.zm](mailto:nstc@nstc.org.zm)) or mailed/delivered to the following address:

**The Executive Secretary  
National Science and Technology Council (NSTC)  
Curriculum Development Centre Building  
Haile Selassie Avenue, Longacres  
P. O. Box 51309  
Lusaka.**

### 3.2 Evaluation and Selection

All applications shall be evaluated by the Technical Committee and successful proposals shall be shortlisted for further expert review.

The peer reviewed proposals will be further considered by the Technical Committee and recommend proposals to the Fund Management Committee for final selection.

The decisions made by the SRF Fund Management Committee shall be final.

### 3.3 Notification to Applicants

Applicants will be notified of the decision of the Fund Management Committee regarding their application.

### 3.4 Acceptance of Offer

Applicants may accept or decline the offer in writing within ten working days of receiving the letter of offer. In the case of acceptance, applicants must amend their proposals according to the comments and concerns of the Fund Management Committee.

### 3.5 Application Cycle

There shall be one (1) application cycle per year as outlined in the Table below:

<b>Activity</b>	<b>Timing</b>
Call for Project Proposals	March
Deadline for submission of Applications	June
Evaluation of Proposals by Technical Committee	July - September
Approval of projects by Fund Management Committee	October
Notification of result to applicants and official awarding of grants	November - December
Project Commencement	January – March of the following year

## **CHAPTER 4: FUNDS DISBURSEMENT AND PROJECT MONITORING AND EVALUATION**

### **4.1 Disbursement of Funds**

The funds will be disbursed in instalments according to the project phases agreed upon by NSTC, the grant recipient(s) and the institution of affiliation.

#### **4.1.1 Initial Disbursement**

The initial disbursement will depend on submission of an inception report detailing the activities and budget for the initial phase of the project.

#### **4.1.2 Subsequent Disbursement(s)**

Payment of subsequent instalment(s) will be dependent on achievement of planned milestones and submission of technical and financial progress reports, including valid receipts and other supporting acquittal documents for the previous instalment.

#### **4.1.3 Project Management Fee**

The institution of Affiliation shall be paid a project management fee (PMF) of 5% of the total allocation approved per project phase. This will be disbursed together with the initial and subsequent instalments of project funds.

Any misapplications and misappropriation of funds will be dealt with in accordance with the Government Financial Regulations.

### **4.2 Project Monitoring and Evaluation**

The projects will be closely monitored and evaluated by the Institution of Affiliation or host institution, the NSTC and the Department of Science and Technology.

Through the Institution of affiliation, the Principal Investigator (PI) shall be required to submit the following reports:

- i. Inception Report (IR)**
- ii. Progress Reports (PR) (Technical and Financial)**
- iii. End of Project Report (EPR)**



The reports will be reviewed by the Technical Committee who will make recommendations to the Fund Management Committee based on the following reports:

- i. Progress Assessment Report (PAR)**
- ii. Outcome Assessment Report (OAR)**

#### **4.2.1 Inception Report**

The Inception Report shall be submitted within fourteen days of the award of the grant and will highlight the following:

- i. an account of the measures put in place in order to start the project
- ii. research sites,
- iii. sources of specialised services where applicable,
- iv. project account,
- v. details of activities and budget for the initial phase of the project.

#### **4.2.2 Technical Progress Report**

Technical Progress Reports shall be submitted to the NSTC after completion of each project phase. The reports shall highlight:

- i. Progress towards project objectives
- ii. Any challenges which may affect the meeting of an objective,
- iii. Project Milestones if any, achieved in the period that the report covers,
- iv. Reasons for non achievement of milestones and suggested remedial measures to be taken,
- v. Technical problems encountered and plans to overcome them.

The reports may also include application for changes in:

- a. milestone;
- b. project schedule;
- c. budget; and,
- d. methodology

### 4.2.3 Financial Progress Report

Financial Reports shall be submitted to the NSTC after completion of each project phase as shown in the table below:

<b>Amount Received (ZMW):</b>					
<b>Date:</b>					
<b>Expenditure</b>					
#	Date	Items	Supplier	Receipt No.	Amount (ZMW)
<b>Total Expenditure</b>					
<b>Balance</b>					

The Progress Reports should be submitted through the Institution of affiliation to NSTC, both in hard and soft copy. Failure to submit the Progress Report by the stipulated time may result in suspension of the disbursements.

### 4.2.4 End of Project Report

The Principal Investigator shall submit through the Institution of Affiliation, an End of Project Report within 3 months of project completion. The report shall conform to the format provided and shall highlight the following:

- i. Project objectives,
- ii. Detailed research methodology,
- iii. Direct outputs of the project,
- iv. Extent of achievement of the original project objectives,

- v. Technology transfer and commercialisation approach where applicable,
- vi. Beneficiaries of the project,
- vii. Project schedule and project costs,
- viii. Sectoral / national impacts of the project,
- ix. Recommendations.

#### **4.2.5 Progress Assessment Report**

The NSTC shall prepare monitoring and evaluation (M&E) reports within ten working days of conducting an M&E exercise. The Technical Committee shall have biannual meetings to consider the monitoring and evaluation reports. The Technical Committee shall produce and submit a Progress Assessment Report to the Fund Management Committee within ten working days after the meeting.

#### **4.2.6 Outcome Assessment Report**

The Technical Committee shall review the End of Project Report and shall produce and submit an Outcome Assessment Report to the Fund Management Committee.

The Outcome Assessment Report shall highlight the following:

- i. Direct outputs of the project,
- ii. Extent of achievement of the original project objectives,
- iii. Technology transfer and commercialisation approach where applicable,
- iv. Beneficiaries of the project,
- v. Project schedule and project costs,
- vi. Sectoral / national impacts of the project,
- vii. Assessment of the performance of the project team,
- viii. Recommendations.

## CHAPTER 5: MANAGEMENT STRUCTURE

The SRF is managed through two Committees; the **Fund Management Committee (FMC)**, hosted by the Ministry, and the **Technical Committee (TC)**, hosted by NSTC.

### 5.1 The Technical Committee

This Committee performs the following functions:

- i. Prepare the Calls for research proposals;
- ii. Evaluating research proposals and recommending for funding;
- iii. Monitoring and Evaluating approved projects and making recommendations to the FMC; and
- iv. Carrying out any other responsibility as assigned by the Fund Management Committee.

The Technical Committee comprises **nine (9) members** who may be drawn from any of the following ministries and institutions:

- i. Ministry responsible for Science and Technology,
- ii. National Science and Technology Council (NSTC),
- iii. Ministry of Health,
- iv. Zambia Bureau of Standards (ZABS),
- v. Ministry responsible for Education,
- vi. Ministry responsible for Energy and Water,
- vii. Ministry responsible for Agriculture and Livestock
- viii. Zambia Agriculture Research Institute (ZARI),
- ix. National Institute for Scientific and Industrial Research (NISIR),
- x. National Technology Business Centre (NTBC),
- xi. The University of Zambia (UNZA),
- xii. The Copperbelt University (CBU),
- xiii. Mulungushi University,
- xiv. Forestry Research Branch,
- xv. Zambia Environmental Management Agency (ZEMA),
- xvi. Ministry responsible for Mines and Minerals Development,
- xvii. Central Veterinary Research Institute (CVRI),
- xviii. Fisheries Research,
- xix. Engineering Institute of Zambia (EIZ),
- xx. Tropical Diseases Research Centre (TDRC)
- xxi. Patents and Companies Registration Agency (PACRA)
- xxii. Engineering Institution of Zambia (EIZ).

## 5.2 The Fund Management Committee

The Fund Management Committee is responsible for the following:

- i. Determining thematic areas of focus based on national priorities;
- ii. Approving projects for funding;
- iii. Approving reports and recommendations of the Technical Committee;
- iv. Mobilizing resources for the Fund;
- v. Carrying out any other responsibilities as assigned by the Ministry.

The SRF Fund Management Committee is comprised of members from the following ministries and institutions:

- i. Permanent Secretary – Ministry responsible for science and technology (Chairperson)
- ii. Director of the Department of Science and Technology (Secretary)
- iii. Director of Planning - Ministry of Finance and National Planning
- iv. Director Public Health and Research - Ministry responsible for Health
- v. Director of Planning – Ministry responsible for science and technology
- vi. Director of Research and Graduate Studies – University of Zambia
- vii. Director of Planning -Ministry responsible for Agriculture
- viii. Executive Secretary-National Science and Technology Council
- ix. A Prominent Zambian Citizen in R&D
- x. Chairperson of the SRF Technical Committee – (Ex-officio)

## APPENDIX I : RESEARCH PROPOSAL GUIDELINES

### 1. PROPOSAL INFORMATION

This section is to be completed by the Secretariat.

#### 1.1 Project Number

The project number is defined by the research thematic area, research field and serial number.

**Figure 1: Coding Structure for Project Number**

Research Cluster (TA) Code		Research Field (RF) Code	SRF Serial Number
TA01		RF01	0001

**Example:** The project number TA 01-RF01-0001  
**TA01** Industry Research Thematic Area,  
**RF01** Material science  
**0001** First project

(Refer to Appendix II for codes)

### 2. PROPOSAL DETAILS

#### 2.1 Title Page

The Title Page should contain:

- i. Title of Research Proposal
- ii. Name of Principal Investigator and their institution
- iii. Name(s) of Collaborator(s) and their institution(s)
- iv. Category of Institution (Public, Private)
- v. Full Contact Details

#### 2.2 Project Title

The title should be concise, clearly indicating the subject of the investigation and reflecting the key idea(s) of the project.

## **2.3 Abstract**

A brief outline of the proposal explaining the significance of the proposed research, objectives, anticipated outputs and outcomes and potential socioeconomic benefits.

## **2.4 Project Objectives**

This section describes the objectives, which should be specific, measurable, attainable, realistic and time-bound.

## **2.4 Research Background**

The research background should cover the major issue(s) and problem(s) to be addressed and relevance of the research

## **2.5 Literature Review**

Critically analyse the existing literature on work already done in the same field and identify the knowledge gaps that the proposed research will address

## **2.6 Research Approach**

### **2.6.1 Methodology**

Indicate the qualitative and quantitative methods to be employed and how the research will be carried out including design, materials, data collection tools and analysis

### **2.6.2 Project Logical Framework**

The Log frame describes the relationship between activities to be undertaken in the project, their outputs and the short outcomes and the anticipated overall goal or impact of the project. It also spells out the means of measuring milestones.

### **2.6.3 Project Workplan**

Outline in a concise manner, a schedule of implementation of the activities planned for the total period of the project and indicate the estimated cost for each activity

The research activities as well as the timing and duration should be reflected in the Gantt chart.

#### **2.6.4 Milestones**

A milestone is achieved when a phase in the project is reached, for example completion of testing, commissioning of equipment, etc. The Project Proposal should clearly state the expected milestones.

The timings of the milestones will be reflected in the Gantt chart.

#### **2.6.5 Risk Analysis and Mitigation**

States the assumed factors that will drive the execution of this research and the potential risks that if not mitigated could negatively affect attainment of the stated objectives  
Give suggestions on how the identified risks could be mitigated upon.

#### **2.6.6 Benefits of the Project**

- I. Expected Outputs  
The expected outputs may vary depending on the type of research and may include the following:
  - a. New method / technique
  - b. New demonstrator/ prototype
  - c. New / improved product / device
  - d. New / improved process
  - e. New / improved software
  - f. New / improved material
  - g. New / improved service
  - h. Intellectual property right (IPR)A solution to an emergency
  - i. Publications
  
- II. Human Capital Development  
Each project is expected to engage personnel for professional and/ or academic advancement. The indicators are as follows:
  - a. PhD
  - b. Master
  - c. Undergraduate Degree
  - d. Research staff with new specialization



### III. *Impacts*

Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.

The examples of indicators of impacts include the following:

- a. Increased revenue from sales of manufactured product / device / equipment
- b. Increased royalties from licensing
- c. Cost savings
- d. Time savings
- e. Increased number of beneficiaries

### IV. *Infrastructural contribution*

The indicators include the following:

- a. New equipment
- b. New / improved research facility
- c. New information networks

## **2.6 Research Collaboration**

Collaboration is a joint effort of multiple institution and/or individuals to accomplish a task or research project.

This may include sharing of expertise, research facilities, marketing opportunities and other related research resources. Details on the role of key collaborators should be provided. The commitment of the various collaborators should be substantiated by documentation proof such as memorandum of understanding, letter of consent or any other form of agreement.

## **2.8 Other Sources of Funds**

The applicants have to indicate and specify other sources of funding from local or international funding agencies if any.

## **2.9 Summary of Relevant Past Research Experience**

Applicants should provide a CV that gives a summary of past research, if any, which has relevance to the proposed research.

### **2.10 Other Contractual obligations**

Applicants must state any contractual obligations with third parties.

### **2.11 Ownership of intellectual property rights**

Ownership of IPR will be agreed upon by, government and the grant recipient and Institutions of Affiliation.

### **2.12 Budget**

This is a plan of how much money will be needed to meet the project objectives. Anything in the methods section needs to appear in the budget. The budget should contain a calculation showing how you came up with the total for each budget line. The budget should be realistic; efforts should be made not to overestimate or underestimate the budget.

## APPENDIX II: RESEARCH PROJECT CLASSIFICATION

### 1. Research Thematic Area (TA) Codes

THEMATIC AREA	CODE
Industry	TA 01
Energy	TA 02
Agriculture	TA 03
Health	TA 04
Environment	TA 05
Information and Communication Technology	TA 06
Social Science	TA 07

### 2. RESEARCH FIELDS (RF) CLASSIFICATION CODES

Please choose the RF classification which most appropriately describes the scientific discipline or field of research.

- i. **Industry** e.g.
  - Material science **01**
  - Design and Manufacturin **02**
  - Value addition technologies **03**
- ii. **Energy** e.g.
  - Alternative energy technologies **01**
- iii. **Agriculture** e.g.
  - Value addition technologies **01**
  - Plant and animal diseases **02**
  - Crops and animal productivity **03**
  - Water management and irrigation **04**
  - Soil management **05**
- iv. **Health** e.g.
  - Communicable and non-communicable diseases **01**

- Maternal diseases **02**
  - Nutritional diseases **03**
- v. **Environment** e.g.
- Water and sanitation **01**
  - Waste management **02**
  - Deforestation and desertification **03**
  - Climate change mitigation and adaptation **04**
- vi. **Information and Communication Technology** e.g.
- Software development **01**
  - Bioinformatics **02**
  - Cyber security **03**
- vii. **Social Sciences** e.g.
- Social and economic studies **01**
  - policy studies in STI **02**
  - Gender in STI **03**

**APPENDIX III: SAMPLE RESEARCH AGREEMENT**

**THIS AGREEMENT** is made on the..... day of ..... 20 .....

**BETWEEN**

**The Government of the Republic of Zambia** through the Ministry responsible for Science and Technology, who for this purpose is represented by the National Science and Technology Council (NSTC), having its address at the Curriculum Development Centre Building, Long Acres (hereinafter referred to as "**the Government**") on one part;

**AND**

..... **the Grant Recipient** having their address at..... (hereinafter referred to as "Grant Recipient".....)

**AND**

..... a company established under the Companies Act of 19...[Act #.....] / a higher educational institution established under the ..... Act of 19...[Act #.....] / a statutory body established under the ..... Act .....[Act #.....] and having its address at ..... (hereinafter referred to as "**the Institution of Affiliation**") on the other part.

The Government and the Grant Recipient and the Institution of Affiliation may individually be referred to as "**Party**" or collectively as "**Parties**".

**WHEREAS:**

- A. The Government is desirous to promote STI by the provision of financial assistance for the development and/or up-scaling of technologies in strategic priority areas;
- B. The Grant Recipient.....
- C. The Institution possesses the necessary qualifications, experience, and ability to develop and/or up-scale technology ..... described in **Schedule A** (hereinafter referred to as the "**Project**") ; and

- C. The Entities wish to carry out the Project and the Government agrees to provide a grant for financial assistance under the Strategic Research Fund grant based on the terms and conditions hereinafter set forth.

**NOW THEREFORE, IT IS AGREED** as follows:

## **1. DEFINITIONS AND INTERPRETATIONS**

In this Agreement, the following words or phrases and any other part of other grammatical form in respect of such words or phrases used in this Agreement shall have the following meaning except where the context otherwise requires:

Monetary references are in Zambian currency.

Any word (including a word defined or given a special meaning) denoting the singular shall include the plural and vice versa.

### **1.1 “Agreement”:**

Whenever used herein and in all agreement documents shall mean the documents forming this Agreement together with all the Schedules attached hereto and all documents taken together shall be complementary to one another;

### **1.2 “Strategic Research Grant”:**

Means a grant provided by the Government through a fund created for the purpose of promoting the development and/or up-scaling of technology in strategic priority areas; and

### **1.3 “Grant”:**

Means the total amount of grant that the Government agrees to pay to the Entity for the implementation of the Project under the Strategic Research Fund.

### **1.4 Grant Recipient**

The Grant Recipient is:

- a. The receiver of a grant through an application. This can either be an individual or an institution
- b. the designated receiver of a grant, where there is no application for funding launched such as in an emergency

### **1.5 “Principal Investigator/ Project Leader”:**

Means the Grant Recipient or his/her appointee

### **1.5 “Milestones”:**

Means the Project Milestones as described in the Proposal;

**1.6 “Progress Report”:**

Means a report containing the completion of milestones planned and scheduled in accordance with the implementation schedule.

**1.7 “Financial Report”:**

Means a report consisting of all accounts relating to the income received and expenses incurred by the Grant Recipient on the Project, specifying the period in which it was received, payments and incurred expenses together with all supporting documents and/or documents as may be required by the Government.

**1.8 “Product”:**

Means the output produced from the Project.

**1.9 “Confidential Information”:**

Means all know-how, financial information and other commercially valuable information in whatever form including unpatented inventions, trade secrets, formulae, graphs, drawings, designs, biological materials, samples, devices, models and other materials of whatever description which a Party claims is confidential to itself and over which it has full control and includes all other such information that may be in the possession of a Party's employees or management.

Information is not confidential if:

- i. it is or becomes part of the public domain unless it came into the public domain by a breach of confidentiality;
- ii. it is obtained lawfully from a third party without any breach of confidentiality;
- iii. it is already known by the recipient Party (as shown by its written record) before the date of disclosure to it; or
- iv. it is independently developed by an employee of the recipient Party who has no knowledge of the disclosure under this Agreement.

**1.10 “Intellectual Property”:**

Means all rights resulting from intellectual activity whether capable of protection by statute, common law or in equity



and including copyrights, discoveries, inventions, patent rights, registered and unregistered trademarks, design rights, circuit layouts and plant varieties, IKS and all rights and interests of a like nature, together with any and all documentation relating to such rights and interests;

**1.11 “Project Intellectual Property”:**

Means Intellectual Property which is created, developed or discovered in the conduct of the Project including any output of creative endeavour derived with the potential for commercialisation and exploitation for economic gain;

**2. THE PROJECT**

**2.1 Scope of Work**

**2.1.1** The Grant Recipient shall implement the Project as specified in **Schedule A** with reasonable professional, scientific, ethical and financial principles and standards.

**2.1.2** The Grant Recipient shall carry out the Project with due diligence and efficiency and in conformity with sound technical practices.

**2.1.3** The Grant Recipient shall act at all times so as to protect the interests of all Parties and shall ensure the completion of the Project to the satisfaction of all Parties.

**2.2 Commencement and duration of the Agreement**

**2.2.1** This Agreement shall be for a period of ..... **months** commencing from ..... (referred to as the “**Commencement Date**”) until ..... (referred to as the “**Completion Date**”).

**2.2.2** The Grant Recipient shall carry out the Project in accordance with the provisions and within the duration of this Agreement.

**2.2.3** Upon it becoming reasonably apparent that the implementation of the Project is delayed, the Grant Recipient shall forthwith give written notice of the cause of the delay to the NSTC and if it is reasonable and justifiable in the opinion of the NSTC that the performance of the Agreement is likely to be delayed or has been delayed, shall as soon as is able to

estimate the length of the delay beyond the date or time aforesaid, make in writing a fair reasonable extension for the performance of this Agreement.

**2.2.4** Upon successful completion of the Project, the NSTC shall accept the End of Project Report in writing

### **3. THE GRANT**

#### **3.1 The Grant Amount**

**3.1.1** In consideration of the execution and completion of the Project and the fulfilment of the Grant Recipient's obligations under this Agreement, the Government agrees to pay to the Entity the Grant to the amount of **ZMW** ..... as detailed in this Agreement. All other costs and expenses on any other items shall be borne by the Grant Recipient.

**3.1.2.** The Recipient shall not make any variation to the budget as described in the **Approved Project Proposal** without obtaining prior written approval from NSTC.

#### **3.2 Terms of Payment**

**3.2.1** The Grant Recipient shall be entitled to the payment of the Grant in accordance with the agreed schedule based on project phases.

**3.2.2** The Government shall be at liberty to declare all sums of money otherwise due to the Grant Recipient, which may be with the Government, to be retained or reserve the right to deduct from any monies that may become payable by the Government to the Entity under this Agreement.

#### **3.3 Withholding Payment of Grant**

**3.3.1** Occurrence of any of the following events may constitute sufficient grounds to withhold the grant::

- i. default in the execution of any of the terms of this Agreement on the part of the Grant Recipient; or
- ii. any other condition which in the reasonable opinion of the Government, interferes or threatens to interfere with

the successful performance of the Project or the accomplishment of the purposes of this Agreement;

then the Government may by written notice to the Grant Recipient -

- i. withhold in whole or in part payments to the Grant Recipient under this Agreement; and
- ii. demand the Grant Recipient to immediately cease all expenditures under this Agreement and to return to the Government, such amount or amounts of unexpended monies already paid by the Government to the Grant Recipient, in whole or in part, as the case may be.

**3.3.2** If any of the conditions referred to in sub-clause 3.3.1, shall have happened and be continuing for a period of fourteen (14) days after the Government has given written notice of withholding payments to the Grant Recipient under this Agreement, the Government may by written notice to the Grant Recipient terminate this Agreement.

#### **3.4 Change of Principal Investigator/Project Leader**

**3.4.1** There shall be no changes or substitutions for the Principal Investigator/Project Leader of the Project as stated in of **Schedule A** by the Grant Recipient without the prior written approval of the Government.

**3.4.2** Subject to sub-clause 3.4.1, if for any reason beyond the reasonable control of the Grant Recipient, it becomes necessary to replace the Principal Investigator/Project Leader, the Grant Recipient shall forthwith provide as a replacement, a person of equivalent or higher qualifications and experience acceptable to the Government.

#### **3.5 Collaboration**

**3.5.1** There shall be no changes or substitutions for the Collaborator/s as specified in Schedule A (if any), unless with the prior written approval of the Government.

**3.5.2** The Collaborator/s shall be entitled for the partial payment of the Grant directly from the Government as specified and in accordance with this Agreement."

#### **4. REPORTS**

##### **4.1 Technical Progress Reports**

The Grant Recipient shall submit to the Government Technical Progress Reports as described in **Schedule C**.

##### **4.2 Financial Progress Reports**

The Grant Recipient shall submit to the Government Financial Reports as described in **Schedule D**.

##### **4.3 End of Project Report**

The Grant Recipient shall submit to the Government an end of Project Report within three (3) months after submission of final progress reports, in accordance with the format in **Schedule E**.

The Progress reports and End of Project report shall be verified by a technical expert(s) or any other person(s) appointed by the Government.

#### **5. MAINTENANCE, ACCESS AND INSPECTION OF RECORDS**

##### **5.1 Maintenance of Records**

**5.1.1** The Grant Recipient shall keep and maintain, to the Government's satisfaction, proper books of account and operating records necessary to afford a correct record and explanation of:

- i. All expenditure by the Entity on the Project; and
- ii. The technical progress and performance of the Project.

**5.1.2** The Grant Recipient shall, unless the Government otherwise agrees in writing, retain all such books of accounts and operating records relating to the Project for at least six (6)

years after the Completion of the Project or earlier termination of the Agreement.

## **5.2 Access to and Inspection of Records**

**5.2.1** The Entity shall at all times permit the Government, its officers, agents and authorized representatives access to the Entity's premises, to enter and remain in any part of the premises.

**5.2.2** The Entity shall render all reasonable and necessary assistance to enable those officers, or agents to examine and take copies of any records maintained pursuant to this Agreement or any records, which in the opinion of the Government are considered relevant to the Project.

**5.2.3** The Government and the Entity shall have equal access to the records pertaining to the Project.

## **6. PROJECT SITE VISITS**

The Government through its authorized representatives has the right, at all reasonable times, to make site visits to review the Project accomplishments and management control systems. The Entity shall at all times permit the Government, its officers, agents and authorized representatives to inspect the activities of the Project (or any work relating to it) and assess the progress thereof. If any site visit is made by the Government to the premises of the Entity, or other premises where the Project may be conducted, the Entity shall provide reasonable assistance to the Government and its authorized representatives in the performance of their duties.

## **7. PROJECT INTELLECTUAL PROPERTY**

### **7.1 Preparation and Filing of Project Intellectual Property**

Where applicable, the Entity shall prepare and file intellectual property applications with the relevant Patents authorities.

### **7.2 Ownership, Protection and Maintenance of Project Intellectual Property**

**7.2.1** The Project Intellectual Property shall be jointly owned by the Government, the Grant Recipient and the Institution of

Affiliation. However, the Government shall be entitled to use the result of the Project for the good of the public.

**7.2.2** The Entity shall ensure that, subject to the notification to the Government, the existence of the intellectual property remains confidential and is not published until adequate arrangements are put in place for its protection where this is feasible.

**7.2.3** The costs of maintaining the Project Intellectual Property shall be borne by the Parties after the signing of this Agreement.

## **8. VARIATIONS**

**8.1** The Entity shall not make any variation to the scope of work of the Project as described in **Schedule A** without obtaining prior approval of the Government.

**8.2** Either the Government or the Entity may, by written notice to the other, propose a variation to **Schedule A**.

**8.3** Where a variation is proposed by the Entity and approved by the Government, or proposed by the Government and agreed by the Entity, the variation shall be ineffective unless and until it is made in writing and signed by the Government and the Entity.

**8.4** The Government shall not be obliged to approve any proposed variation and shall have an absolute discretion in deciding whether or not to grant its approval.

## **9. CONFIDENTIALITY**

The Parties to the Agreement shall treat all Confidential Information arising from the Project, which is not already in the public domain as confidential.

## **10. FORCE MAJEURE**

**10.1** Neither the Government nor the Entity shall be in breach of its obligation under this Agreement if it is unable to perform its obligation under this Agreement (or any part of them), as a result of

the occurrence of an Event of *Force Majeure*. An Event of Force Majeure shall mean:

- i. War (whether declared or not), hostilities, invasions, armed conflict, act of foreign enemy, rebellion, insurrection, revolution, terrorism or usurped power;
- ii. Ionizing radiation or contamination by radioactivity from any nuclear waste, from combustion of nuclear fuel, radioactive toxic, explosive, nuclear assembly or nuclear competent thereof;
- iii. Pressure waves caused by aircraft or other aerial devices travelling at sonic or supersonic speed;
- iv. Riot and disorders, strike, lockout, labour unrest or other industrial disturbances, sabotage or criminal damage affecting the maintenance of this Agreement or any act of vandalism which is not the fault of the Entity, which cause, or can reasonably be expected to cause, any party to fail to comply with its obligations under this Agreement; and
- v. Natural catastrophes including but not limited to earthquakes, floods, subsidence, lightning and exceptionally inclement weather and subterranean spontaneous combustion.

**10.2** If an event of Force Majeure occurs by reason of which either Party is unable to perform any of its obligation under this Agreement (or any part thereof), the Party shall inform the other Party immediately of the occurrence of that event of Force Majeure with full particulars thereof and the consequences thereof.

**10.3** If either Party considers the event of Force Majeure to be of such severity or to be continuing for such period of time that it effectively frustrates the original intention of this Agreement, then the Parties may agree that this Agreement may be terminated upon mutual agreement of the parties.

**10.4** If this Agreement is terminated by an Event of Force Majeure pursuant to the above clause, all rights and obligations of the Parties under this Agreement shall forthwith terminate and neither Party shall have any claim against the other Party and neither Party shall be liable to each other save for any rights and liabilities accruing prior to the occurrence of the Event of Force Majeure.

**10.5** Neither Party shall be entitled to rely upon the provisions above if both Parties reasonably determine that an Event of Force Majeure has not occurred.

**10.6** For avoidance of doubt, the Parties shall continue to perform those parts of their obligations not affected, delayed or interrupted by an Event of Force Majeure and such obligations shall, pending the outcome of this clause continue in full force and effect.

## **11. DISPUTE RESOLUTION**

**11.1** Any matter, claim or dispute between the parties in respect of any matter under this Agreement may be referred by either party to a dispute resolution committee (the "Dispute Resolution Committee") consisting of:

- I. the Permanent Secretary of the Ministry of Justice as Chair;
- II. two representatives appointed by the Government; and
- III. two representatives appointed by the Entity.

**11.2** The Dispute Resolution Committee shall determine its own procedures. The Dispute Resolution Committee shall meet and endeavour to achieve an amicable settlement between the parties in respect of any dispute referred to it.

**11.3** If any matter, dispute or claim which is referred to the Dispute Resolution Committee cannot be agreed by the relevant parties hereto within thirty (30) days after the date of referral, either party may refer that matter, dispute or claim to arbitration.

## **12. ARBITRATION**

**12.1** If any matter, dispute, or claim cannot be settled amicably by the parties hereto within thirty (30) days after the same having been referred to the Dispute Resolution Committee, then the matter, dispute or claim shall be decided by arbitration in accordance with the Rules of Arbitration under the Zambian law, before a single arbitrator who shall be nominated by the Minister of Justice and mutually agreed by both parties and shall take place in Zambia and any such reference shall be deemed to be a submission to



arbitration within the meaning of the relevant Act relating to Arbitration.

**12.2** The decision and award of the Arbitrator shall be final and binding on each of the Parties.

### **13. TERMINATION OF AGREEMENT**

#### **13.1 Termination by the Government**

**13.1.1** In the event that the Entity without reasonable cause:

- i. suspends the Project and fails to proceed regularly and diligently with the performance of its obligations under this Agreement;
- ii. fails to execute the Project in accordance with this Agreement or persistently neglects to carry out its obligations under this Agreement;
- iii. defaults in performing the duties under this Agreement;
- or
- iv. breaches any of its obligations or fail to comply with any other terms and conditions of this Agreement,

The Government shall give notice in writing to the Entity specifying the default and requiring the Entity to remedy such default within fourteen (14) days after the date of the notice. If the Entity fails to remedy the relevant default within such period or such other period as may be determined by the Government, the Government shall have the right to terminate this Agreement at any time thereafter by giving notice to that effect.

**13.1.2** If at any time during the Agreement period-

- i. an order is made or a resolution is passed for the winding-up of the Entity, except for the purpose of reconstruction or amalgamation not involving the realization of assets in which the interest of creditors are protected;
- ii. the Entity goes into liquidation or a receiver is appointed over the assets of the Entity or the Entity makes an assignment for the benefit of or enters into an

arrangement or composition with its creditors or stops payment or is unable to pay its debts; or

- iii. execution is levied against a substantial portion of the Entity's assets, unless it has instituted proceedings in good faith to set aside such execution, then the Government shall have the right to terminate this Agreement forthwith by giving notice to that effect.

**13.1.3** Upon termination of this Agreement under Clause 13.1.1 or 13.1.2:

- i. The powers and rights granted by and the obligations in this Agreement shall terminate immediately;
- ii. the Entity shall:
  - a. forthwith cease all the scope of works; and
  - b. submit to the Government the detailed reports of the cost of the works and other payments which has become due and owing from the Government prior to the termination for verification and approval by the Government;
- iii. the Government shall:
  - a. claim against the Entity for any losses and damages suffered as a result of the termination of this Agreement;
  - b. cease the payment of the Grant or balance payment of the Grant; and

**Provided that** the termination shall not affect or prejudice the rights of any Party which have accrued prior to the date of termination of this Agreement and the obligations under this Agreement shall continue even after the termination if this Agreement in respect of any act, deed, matter or thing happening prior to such termination of this Agreement.

**13.3 Termination in national interest**

**13.3.1** Notwithstanding any provision of this Agreement, the Government may terminate this Agreement by giving not less than thirty (30) days notice to that effect to the Entity (without

any obligation to give any reason thereof) if it considers that such termination is necessary for national interest, in the interest of national security or for the purposes of Government policy or public policy.

**13.3.2** For the purposes of this Clause, what constitutes “national interest”, “interest of national security”, “Government policy” and “public policy” shall be solely made and determined by the Government and such determination shall for all intent and purposes be final and conclusive and shall not be open to any challenge whatsoever. Upon such termination, the Government shall recover all the funds that are not spent.

#### **13.4 Termination on Criminal Activities**

**13.4.1** Without prejudice to any other rights, if the Government is satisfied that the Entity, its personnel, agents or employees is or are involved in criminal activities in relation to this Agreement, the Government shall be entitled to terminate this Agreement at any time by giving immediate written notice to that effect to the Entity.

**13.4.2** Upon such termination, the Government shall be entitled to all losses, costs, damages and expenses including any incidental costs and expenses incurred by the Government arising from such termination.

#### **13.2 Termination by the Entity**

**13.2.1** If the Government without reasonable cause fails to perform or fulfil any of its obligations which adversely affects the Entity’s obligations under this Agreement, then the Entity may give notice in writing to the Government specifying the default and the Government shall remedy the relevant default within thirty (30) days after receipt of such notice or such other extended period as agreed by the Parties.

**13.2.2** If the Government fails to remedy the relevant default within such period or other extended period as agreed by the Parties, the Entity shall be entitled to terminate this Agreement at any time by giving notice to that effect.

**13.2.3** Upon such termination, the Entity shall accept the following undertaking by the Government as full and complete

settlement of all claims for payment under or arising out of this Agreement:

- i. the Government shall pay the Entity all monies due and payable to the Entity as at the date of the termination of the Agreement and which have not been paid provided that the Government shall be entitled to deduct such sum due to the Government from the Entity under this Agreement;
- ii. the Entity shall cease to execute the scope of works to the Government.

## **14. MISCELLANEOUS**

### **14.1 Applicable Law**

This Agreement shall be governed by and construed in accordance with the laws of Zambia.

### **14.2 Assignment**

This Agreement shall not be assigned in whole or in part by the Entity without the prior written consent of the Government and the Government has the absolute right to reject any application and such decision shall be final.

### **14.3 Further Assurances**

The Entity shall do all things and execute all further documents necessary to give full effect to this Agreement at its own cost.

### **14.4 Successors-in-Title**

This Agreement shall be binding on the respective heirs, personal representatives, receivers, successors-in-title and assignees of the Entity.

### **14.5 Amendment/modification**

Any provision of this Agreement may be amended or modified by mutual consent between the Government and the Entity and such

amendment/modification shall be in writing and signed by the duly authorised representative of both parties.

#### **14.6 Indemnity**

The Entity shall be liable for and shall indemnify, protect and hold harmless the Government from and against all suits, actions, demands, damages, losses, expenses and cost.

#### **14.7 Waiver**

No failure or delay on the part of any Party having an interest in the Research Grant to exercise any right or remedy under the Grant Conditions shall be construed or operated as a waiver thereof, nor shall any single or partial exercise of any right or remedy as the case may be. The rights and remedies provided in the Grant Conditions are cumulative and are not exclusive of any rights or remedies provided by law.

#### **14.8 Notices**

**14.8.1** Any notice or other document to be given under the Grant Conditions shall be in writing and shall be deemed to have been duly given if left at or sent by:

- I. Registered post, courier service, express mail or other fast postal service; or
- II. Email or facsimile to a Party at the address or relevant telecommunications number for such Party or such other address as the Party may from time to time designate by written notice to the other[s].

**14.8.2** Any notice or other document shall be deemed to have been received by the addressee five (5) working days following the date of dispatch of the notice or other document by post or, where the notice or other document is sent by hand or is given by facsimile simultaneously with the delivery or transmission. To prove the giving of a notice or other document, it shall be sufficient to show that it was dispatched.

**14.8.3** Such notices shall be addressed to:

For the Government:  
The Executive Secretary,  
National Science and Technology Council,  
Curriculum Development Centre Building  
Haile Selassie Road, Long Acres

**LUSAKA.**

Tel: +260-211-255854

Fax: +260-211-257194

Email: [nstc@nstc.org.zm](mailto:nstc@nstc.org.zm)

**IN WITNESS WHEREOF** the parties hereto have caused this Agreement to be executed in their respective names by their duly authorized representatives the day and year first above written.

**SIGNED FOR AND ON BEHALF OF  
THE GOVERNMENT OF ZAMBIA**

Signed:.....)  
Name:.....)  
NRC. No.:.....)  
Designation: .....)

**IN THE PRESENCE OF**

Signed:.....)  
Name:.....)  
NRC. No.:.....)  
Designation: .....)

**SIGNED FOR AND ON BEHALF  
OF THE GRANT RECIPIENT**

Signed:.....)  
Name:.....)  
NRC. No.:.....)  
Designation : .....)

**IN THE PRESENCE OF**

Signed:.....)  
Name:.....)  
NRC. No.:.....)  
Designation : .....)

**SIGNED FOR AND ON BEHALF  
OF THE INSTITUTION OF AFFILIATION**

Signed:.....)  
Name:.....)  
NRC. No.:.....)  
Designation : .....)

**IN THE PRESENCE OF**

Signed:.....)  
Name:.....)  
NRC. No.:.....)  
Designation : .....)

**SCHEDULE A: PROJECT DETAILS**

<b>No</b>	<b>Item / Description</b>
1	Title of Project
2	Name of Entity
3	Type of Entity (Public/Private)
4	Principal Investigator / Project Leader
5	Collaborator(s) (if any)
6	Research Thematic Area
7	Research Field
8	Project Abstract
9	Project Objectives



**SCHEDULE B: THE GRANT**

<b>NO</b>	<b>EXPENSES</b>	<b>ITEM</b>	<b>GRANT ZMK</b>	<b>TOTAL ZMK</b>	<b>% of TOTAL BUDGET</b>
1	Research materials and supplies				
2	Research and Development Equipment and Accessories				
3	Infrastructure improvement				
4	International travel and transportation				
5	Local travel and transportation				
6	Allowances for personnel				
7	Special services				
8	Human Resource Development				
9	Facilitate the establishment of centres of excellence and networks				
10	Administrative cost (5%)				
11	Monitoring and evaluation (5%)				
<b>Grant Total</b>					

## **SCHEDULE C: TECHNICAL PROGRESS REPORT**

The Technical Progress Reports should include a covering letter:

- i. Detailing the Project Title, Project Reference Number and Principal Investigator/Project Leader;
- ii. Indicating the period which the report covers; and
- iii. Including a statement, signed by all collaborators, indicating that they have contributed to the development of the milestone report and agreed with all information included in it.

The report is to address the technical progress of the project by milestone, including the following:

- i. Progress towards project objectives
- ii. Any challenges which may affect the meeting of an objective,
- iii. Project Milestones if any, achieved in the period that the report covers,
- iv. Reasons for non achievement of milestones and suggested remedial measures to be taken,
- v. Technical problems encountered and plans to overcome them.

The reports may also include application for changes in:

- a. milestone;
- b. project schedule;
- c. budget; and,
- d. methodology

The Principal Investigator/project leader of the project should complete **the Progress Report**.

## **SCHEDULE D: FINANCIAL PROGRESS REPORT**

The purpose of the Financial Report is to allow the SRF Secretariat to monitor the financial status of projects.

Financial Reports should include a covering letter:

- i. Detailing the Project Title, Project Reference Number Principal Investigator/Project Leader and the Project Bank Account Reference Number where applicable;
- ii. Indicating the period which the report covers;
- iii. Including a statement, signed by all collaborators indicating that they agree with all information included in the report.

The report is to address all project expenditure, including:

- i. Evidence of expenditure (original receipts, payment vouchers)
- ii. Bank Statements, where applicable
- iii. All other relevant financial information pertaining to the project;

The Financial Report should always accompany a Technical Progress Report

## **SCHEDULE E: END OF PROJECT REPORT**

The purpose of the End of Project Report is to allow SRF committees to assess the outputs and deliverables of the project.

The End of Project Report should include the following information:

- i. Project Reference number, Project Title, and Principal Investigator/ Project Leader
- ii. Objectives
- iii. Detailed research methodology
- iv. Direct outputs of the project;
- v. Extent of achievement of the original project objectives;
- vi. Technology transfer and commercialisation approach where applicable,
- vii. Patenting (*patent preparation and filing, where applicable*); and
- viii. project schedule and project costs
- ix. Beneficiaries of the project,
- x. Sectoral / national impacts of the project
- xi. Recommendations

The principal Investigator/project leader of the project should complete the End of Project Report.

Five (5) hard copies and One (1) soft copy of the End of Project Report are to be sent to **Strategic Research Fund Secretariat, National Science and Technology Council, Curriculum Development Centre Building, Haile Selassie Road, Long Acres, P.O. Box 51309, LUSAKA.**

**For enquiries, please contact:**

***SRF Secretariat,  
National Science and Technology Council  
Curriculum Development Centre Building  
Haile Selassie Road  
Long Acres  
P.O. Box 51309  
Lusaka  
Tel:+260-211-257198  
Fax: +260-211-257194  
E-mail : [nstc@nstc.org.zm](mailto:nstc@nstc.org.zm)  
<http://www.nstc.org.zm>***