



Republic of Zambia

MINISTRY OF HIGHER EDUCATION

Guidelines

for the

Strategic Research Fund

2018 Edition

**IMPLEMENTING AGENCY:
NATIONAL SCIENCE AND TECHNOLOGY COUNCIL**



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TABLE OF CONTENTS

ACRONYMS iii

CHAPTER 1.0 INTRODUCTION	4
1.1 Background	4
1.2 Rationale	4
1.3 Objectives	4
CHAPTER 2: IMPLEMENTATION OF THE FUND	6
2.1. Categories of Research	6
2.4 Eligibility to access the SRF	9
2.5 Scope of Funding	9
2.5.1 Funding Ceiling	9
2.5.2 Eligible Expenses	10
2.6 Variation	11
2.7 Project Duration	11
2.8 No-cost Project Extension.....	11
2.9 Grant Agreement.....	12
2.10 Ownership and Use of Project Equipment.....	12
2.11 Intellectual Property.....	12
2.12 Publications.....	12
CHAPTER 3: APPLICATION, EVALUATION AND SELECTION	13
3.1 Application Process	13
3.2 Evaluation and Selection.....	13
3.3 Notification to Applicants.....	13
3.4 Acceptance of Offer.....	13
3.5 Application Cycle	14
CHAPTER 4: FUNDS DISBURSEMENT AND PROJECT MONITORING AND EVALUATION 15	
4.1 Disbursement of Funds	15
4.1.1 Initial Disbursement	15
4.1.2 Subsequent Disbursement(s)	15
4.1.3 Administrative Fee	15
4.2 Project Monitoring and Evaluation.....	15
4.2.1. Reports.....	15
4.2.1.1 Inception Report	16
4.2.1.2 Progress Report (Technical).....	16
4.2.1.3 Progress Report (Financial).....	16
4.2.1.4 Project Completion Report.....	16
4.2.2 Failure to Submit Reports.....	17

CHAPTER 5: MANAGEMENT STRUCTURE OF SRF	18
5.1 The Fund Management Committee	18
5.2 The Technical Committee.....	19
APPENDIX I: RESEARCH PROJECT CLASSIFICATION	20
APPENDIX II: FINANCIAL PROGRESS REPORT TEMPLATE.....	22
APPENDIX III: STRATEGIC RESEARCH FUND APPLICATION FORM	23
APPENDIX III: STRATEGIC RESEARCH FUND GRANT AGREEMENT.....	33

ACRONYMS

CBU	Copperbelt University
CVRI	Central Veterinary Research Institute
EIZ	Engineering Institution of Zambia
FMC	Fund Management Committee
ICT	Information and Communication Technology
IHL	Institution of Higher Learning
IPR	Intellectual Property Rights
M&E	Monitoring and Evaluation
MoHE	Ministry of Higher Education
NISIR	National Institute for Scientific and Industrial Research
NTBC	National Technology Business Centre
NSTC	National Science and Technology Council
PACRA	Patents and Companies Registration Agency
PI	Principal Investigator
PR	Progress Report
R&D	Research and Development
GA	Grant Agreement
STI	Science, Technology and Innovation
SRF	Strategic Research Fund
TC	Technical Committee
TDAU	Technical Development Advisory Unit
UNZA	University of Zambia
ZABS	Zambia Bureau of Standards
ZARI	Zambia Agriculture Research Institute
ZEMA	Zambia Environmental Management Agency

CHAPTER 1.0 INTRODUCTION

1.1 Background

Science, technology and innovation (STI) are critical in the sustainable development of any country. In Zambia, STI has not been able to contribute significantly to national development due to a number of challenges namely inadequate human resource, dilapidated infrastructure, obsolete equipment, failure to fully actualise the provisions of the 1996 Science and Technology Policy such as allocation of 3% of the GDP to fund research and development (R&D) activities. Generally, there has been inadequate funding for R&D. These have resulted in the country lagging behind in STI development.

Most R&D activities have been conducted on a small scale, fragmented and uncoordinated in various centres/institutions and by individual researchers. Hence, little impact has come out of these research activities, leading to few intellectual properties (IP) being realized. The Government acknowledges that allowing this *status quo* to continue would be detrimental to national economic growth.

To address these challenges, in 2007, the Government established the Strategic Research Fund (SRF) to support basic and applied research in areas of national priority. This Fund is administered by the Fund Management Committee at the Ministry of Higher Education and implemented by the National Science and Technology Council (NSTC). The Fund targets R&D institutions/centres and individuals who must be affiliates of these institutions/centres.

1.2 Rationale

The SRF is a funding mechanism for supporting research in strategic areas in line with national development plans in Zambia.

1.3 Objectives

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

The specific objectives are:

- i. To fund research and development in identified strategic and priority areas
- ii. To improve research facilities in R&D institutions that facilitate strategic research
- iii. To enhance technical and scientific human resource capacity in R&D and STI supporting institutions

- iv. To fund local and international collaborative research
- v. To fund postgraduate research of strategic nature
- vi. To provide counterpart funding to research supported by other funding agencies
- vii. To support dissemination of priority research results
- viii. To provide funding for generation and protection of IP from research activities

CHAPTER 2: IMPLEMENTATION OF THE FUND

2.1. Categories of Research

The fund is designed to support research in two broad categories namely; Targeted and Open Research.

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

Open Research is proposed by researchers or affiliated R&D institutions. Refer to Section 2.4 for eligible institutions and individuals. However, the proposed research must fall within the scope of the SRF.

2.2. Funding Windows

The Funding Windows under the Targeted Research category are as follows:

- i. **Directed Research:** Researchers are invited to bid for funding to find solutions through research to the identified problem
- ii. **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
- iii. **Collaborative Research:** This is research conducted and/or funded jointly between local R&D institutions as well as bilateral/multilateral 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).
- iv. **Counterpart Research Funding:** The SRF will provide counterpart funding to projects and/or institutions that are partially supported by other agencies. Counterpart funded research will be within the scope of the SRF.

The Funding Windows under the Open Research category are as follows:

- i. **Postgraduate Research:** The SRF will support postgraduate Masters and PhD Degree programmes at local universities and other institutions of higher learning, focusing on science, technology and innovation fields. The support is strictly for field and/or laboratory research work.

- ii. **Individual Generated Research:** Individuals can generate their own research proposals in any of the research thematic areas indicated in Section 2.3 and apply for funding within a funding cycle.
- iii. **Research infrastructure Support:** R&D institutions may apply to the SRF Fund for specialised equipment to facilitate their research operations that are not necessarily attached to an SRF funded project. This will be done with a view to create or enhance centres of excellence in specialised STI fields. Funding categories under research infrastructure support will include:
 - a. Acquisition, establishment and/or development of new research infrastructure
 - b. Upgrading and supplementation of the existing research infrastructure
 - c. Replacement of existing infrastructure and specialized equipment
- iv. **Dissemination of Research Results:** The SRF will support dissemination of research results through seminars, conferences, peer reviewed journal publications and press releases, etc.
- v. **Mobility Grant:** Supports and strengthens the creation of networks and collaboration among Zambian scientists with their counterparts regionally and internationally, within the scope of the SRF Thematic Areas indicated in Section 2.3. The applicant need not be a recipient of an SRF project grant. This Mobility Grant will be administered according to government guidelines on international travel.

2.3. Thematic Areas

The thematic areas in the revised SRF guidelines are aligned to the Seventh National Development Plan (7NDP) or as revised by government:

- i. **Agriculture**
 - Improve sustainable production and productivity
 - Enhance agriculture value chains
 - Promote diversification within the agriculture sector
 - Indigenous Knowledge Systems (IKS)
- ii. **Mining**
 - Promote exploitation of gemstones and industrial minerals
 - Promote mining value chains and industrialization

- Promote petroleum and gas exploration
- Promote small-scale mining
- Indigenous Knowledge Systems

iii. **Tourism**

- Promote diversification of tourism products
- Restock national parks
- Archeological research
- Indigenous Knowledge Systems

iv. **Energy**

- Enhance generation, transmission and distribution of electricity
- Promote renewable and alternative energy
- Indigenous Knowledge Systems

v. **Transport system and infrastructure**

- Promote alternative road construction materials

vi. **Water Resources Development and Management**

- Enhance rain water harvesting and catchment protection
- Promote local and trans-boundary aquifer management
- Water and sanitation
- Indigenous Knowledge Systems

vii. **Information and Communication Technology**

- Software development
- Bioinformatics
- Cyber security
- Electronic waste management

viii. **Industry**

- Material science
- Design and Manufacturing
- Value addition technologies
- Reverse engineering

ix. **Health**

- Non-communicable diseases
- Maternal diseases
- Nutritional diseases
- Indigenous knowledge medicine and systems

x. **Environment**

- Waste management
- Deforestation and desertification

- Climate change mitigation and adaptation
- Indigenous Knowledge Systems

xi. **Space Sciences**

- Space Weather Studies
- Earth Observation
- Planetary Science
- Environmental
- Agriculture sciences
- Natural resources management

xii. **Social Sciences**

- Social and economic studies.
- policy studies in STI
- Gender
- Indigenous Knowledge Systems

2.4 Eligibility to access the SRF

The SRF is open to public and private R&D institutions and individuals. In order to access the SRF grant, an institution must be registered with NSTC in a particular funding cycle. Individuals wishing to access SRF grant should be affiliated to an NSTC-registered institution.

Collaborative research among local and international institutions is strongly encouraged.

2.5 Scope of Funding

2.5.1 Funding Ceiling

The maximum funding level per proposed project for each Funding Window, except for the Mobility Grant, will be as follows:

i. Directed Research:	ZMW 800,000.00
ii. Emergency Research:	As per need
iii. Collaborative Research:	ZMW 400,000.00
iv. Counterpart Research Funding:	ZMW 100,000.00
vi. Postgraduate Research:	
	Masters – ZMW 50,000.00
	PhD – ZMW 100,000.00

vii. Individual Generated Research:	ZMW 500,000.00
viii. Research Infrastructure Support:	As per need
ix. Dissemination of Research Result:	ZMW 50,000.00
x. Mobility Grant:	ZMW750,000.00 per year (Available annually to all Researchers)

However, additional funding may be considered at the discretion of the SRF Fund Management Committee.

2.5.2 Eligible Expenses

The SRF grant will only cover the following expenses that are directly related to the project:

i. Research Materials and Supplies

ii. R&D Equipment and Accessories

Funding for equipment and accessories shall be up to a maximum of 40% of the total project budget. Maintenance and insurance costs of such equipment and accessories shall be borne within the 40%. Purchase of equipment and accessories at a cost above 40% may be allowed under special consideration.

iii. International Travel

Travel expenses for international trips shall be subject to government conditions of travel.

iv. Transportation and shipment of research materials.

Transportation and shipment of research materials that require special handling and care. This shall be in conformity with international standards.

v. Local Travel

Costs for local travel shall be based on the conditions of the institution of affiliation.

vi. Special Services

Expenses for special services, such as consultancy and analytical services. Engagement of foreign expert(s) will be considered on a case-by-case basis.

vii. Human Resource Development

Expenses to build capacity to conduct research should include human resource development at Masters and PhD level as a prerequisite on each project proposal. Further, as a way of improving the overall quality of conducting research in the proposed project, scientific visits, attachments, study tours, exchange visits will be considered.

viii. Administrative cost

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

2.5.3 Non-Eligible Expenses

The SRF grant will not cover the following expenses:

- i. Salaries and Honorarium for the research team
- ii. Institutional financial management costs such as audit fees
- iii. Insurance costs not related to the project.

2.6 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.

2.7 Project Duration

The duration for research projects shall be up to a maximum of three (3) consecutive years. However, special consideration may be made for projects that may need more time.

2.8 No-cost Project Extension

Written requests for project extensions shall be made to NSTC three months before the original proposed project completion date. The approval of such a request shall be communicated in writing.

Under normal circumstances, requests for extensions shall not exceed six months after the originally proposed project completion date.

2.9 Grant Agreement

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

2.10 Ownership and Use of Project Equipment

During the project period, all equipment purchased will belong to NSTC and the project shall bear the maintenance and insurance costs.

At the successful completion of the project, all equipment purchased under the Project will belong to the Principal Investigator's Institution of Affiliation. The maintenance and insurance of such equipment shall then be borne by the Institution of Affiliation.

2.11 Intellectual Property

Ownership and management of Intellectual Property (IP), 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 Grant Agreement.

2.12 Publications

Where applicable, researchers will be required to file for provisional protection for IP 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. 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) 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 SRF Technical Committee and successful proposals shall be shortlisted for peer expert review. The revised proposals shall be reconsidered by the SRF Technical Committee which shall recommend proposals to the Fund Management Committee for final selection.

3.3 Notification to Applicants

The decision of the Fund Management Committee will be communicated to the Applicants within two weeks (10 working days).

3.4 Acceptance of Offer

Applicants may accept or decline the offer in writing within ten working days of receiving the letter of offer. Successful applicants shall amend their proposals according to the comments and concerns of the Fund Management Committee if any.

3.5 Application Cycle

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

Activity	Timing
Call for Project Proposals	March
Deadline for submission of Applications	May
Administrative screening of applications by NSTC	June
Merit and Peer review by Technical Committee	July – September
Approval of projects by Fund Management Committee	October
Notification of result to applicants, official awarding of grants and induction	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 disbursement(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 disbursement.

4.1.3 Administrative Fee

The Institution of Affiliation shall be entitled to an administrative fee of 5% of the disbursed amount per approved project phase.

Any misapplications and misappropriation of funds will be dealt with in accordance with the Public Finance Management Act Number 1 of 2018.

4.2 Project Monitoring and Evaluation

The projects will be monitored and evaluated by the SRF Fund Management Committee, the NSTC and the Institution of Affiliation or host institution.

4.2.1. Reports

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. Project Completion Report (PCR)**

The reports will be reviewed by the Technical Committee who will make recommendations to the Fund Management Committee on the status of the project.

4.2.1.1 Inception Report

The Inception Report shall be submitted to NSTC within ten (10) working days of signing the Grant Agreement and will highlight the following:

- i. Implementation plan
- ii. study sites,
- iii. sources of specialised services where applicable,
- iv. project account,
- v. details of activities and budget for the initial phase of the project.

4.2.1.2 Progress Report (Technical)

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

- i. Project Milestones achieved in the period that the report covers,
- ii. Any challenges which may affect the meeting of an objective,
- iii. Suggested remedial measures
- iv. Activities for the next phase

4.2.1.3 Progress Report (Financial)

Financial Reports shall be submitted to NSTC after completion of each project phase using the format provided in Appendix II.

4.2.1.4 Project Completion Report

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

- i. Title of project and code
- ii. Name of investigator(s)
- iii. Institution of affiliation
- iv. Project objectives,
- v. Detailed research methodology,
- vi. Results of the project,
- vii. Achievement of project objectives,
- viii. Project costs,
- ix. Contribution to the national development plans,

- x. Technology transfer and commercialisation approach where applicable
- xi. Beneficiaries of the project
- xii. Recommendations.

4.2.2 Failure to Submit Reports

Failure to submit reports by the stipulated time may result in suspension of the disbursements.

CHAPTER 5: MANAGEMENT STRUCTURE OF SRF

The SRF is managed through two Committees; the **Fund Management Committee (FMC)**, hosted by the Department of Science and Technology in the Ministry of Higher Education, and the **Technical Committee (TC)**, hosted by NSTC.

5.1 The Fund Management Committee

The Fund Management Committee is responsible for the following:

- i. Mobilizing resources for the SRF;
- ii. Determining research thematic areas for each funding cycle based on national developmental priorities,
- iii. Approving projects for funding;
- iv. Approving project progress reports
- v. Undertaking monitoring and evaluation of funded projects

The SRF Fund Management Committee is comprised of fifteen (15) members as follows:

- i. Permanent Secretary – Ministry responsible for science and technology (Chairperson)
- ii. Director for budget – Ministry responsible for finance
- iii. Director of Planning – Ministry responsible for national planning and development
- iv. Director of Planning -Ministry responsible for agriculture
- v. Director of Planning -Ministry responsible for fisheries and livestock
- vi. Director of Planning -Ministry responsible for environment
- vii. Director of Planning -Ministry responsible for housing and infrastructure development
- viii. Director of Planning -Ministry responsible for energy
- ix. Director of Research – Any public university
- x. Director – National Health Research Authority
- xi. President – Zambia Chamber of Commerce and Industry
- xii. Chief Executive Officer – Industrial Development Cooperation
- xiii. Representative from the Zambia Chamber of Mines
- xiv. Executive Secretary – National Science and Technology Council
- xv. A Prominent Zambian Citizen in R&D
- xvi. Director of Planning – Ministry responsible for science and technology (Ex-officio)
- xvii. Director of Finance – Ministry responsible for science and technology (Ex-officio)
- xviii. Chairperson of the SRF Technical Committee – (Ex-officio)
- xix. Director of the Department of Science and Technology in the Ministry responsible for science and technology (Secretary)

5.2 The Technical Committee

This Committee performs the following functions:

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

The Technical Committee comprises of two (2) permanent members as follows:

- i. Chief of Science and Technology – Ministry responsible for Science and Technology,
- ii. Manager-PDI – National Science and Technology Council (Secretariat)

Seven (7) members who may be drawn from any of the following ministries and institutions to form an adhoc committee. The Chairperson for the committee will be elected from among the seven members:

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

APPENDIX I: RESEARCH PROJECT CLASSIFICATION

1. Research Thematic Area (TA) Codes

THEMATIC AREA	CODE
Agriculture	TA 01
Mining	TA 02
Tourism	TA 03
Energy	TA 04
Transport and Infrastructure	TA 05
Water Resources Development and Management	TA 06
Information and Communication Technology	TA 07
Industry	TA 08
Health	TA 09
Environment	TA 10
Space Sciences	TA 11
Social Sciences	TA 12

2. RESEARCH FIELDS (RF) CLASSIFICATION CODES

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

i. Agriculture

- Improve production and productivity **01**
- Enhance agriculture value chains **02**
- Promote diversification within the agriculture sector **03**
- Indigenous knowledge Systems **04**

ii. Mining

- Promote exploitation of gemstones and industrial minerals **01**
- Promote local and foreign participation in mining value chains and industrialization **02**
- Promote petroleum and gas exploration **03**
- Promote small-scale mining **04**
- Indigenous knowledge Systems **05**

iii. Tourism

- Promote diversification of tourism products **01**
- Restock national parks **02**
- Archeological research **03**
- Indigenous knowledge Systems **04**

iv. Energy

- Enhance generation, transmission and distribution of electricity **01**
- Promote renewable and alternative energy **02**
- Indigenous knowledge Systems **03**

v.	Transport and infrastructure	
	• Promote alternative road construction materials	01
vi.	Water Resources Development and Management	
	• Enhance rain water harvesting and catchment protection	01
	• Promote local and trans-boundary aquifer management	02
	• Water and sanitation	03
	• Indigenous knowledge Systems	04
vii.	Information and Communication Technology	
	• Software development	01
	• Bioinformatics	02
	• Cyber security	03
	• Electronic waste management	04
viii.	Industry	
	• Material science	01
	• Design and Manufacturing	02
	• Value addition technologies	03
	• Reverse engineering	04
ix.	Health	
	• Non-communicable diseases	01
	• Maternal diseases	02
	• Nutritional diseases	03
	• Indigenous knowledge medicine and systems	04
x.	Environment	
	• Waste management	01
	• Deforestation and desertification	02
	• Climate change mitigation and adaptation	03
	• Indigenous knowledge Systems	
xi.	Space Sciences	
	• Space Weather Studies	01
	• Earth Observation	02
	• Planetary Science	03
	• Environmental	04
	• Agriculture sciences	05
	• Natural resources management	06
xii.	Social Sciences	
	• Social and economic studies	01
	• policy studies in STI	02
	• Gender	03
	• Indigenous knowledge Systems	04

APPENDIX II: FINANCIAL PROGRESS REPORT TEMPLATE

Amount received (ZMW):					
Date received:					
Expenditure					
#	Date	Items/Description/Activity	Supplier	Receipt No.	Amount (ZMW)
Total Expenditure					
Balance					

APPENDIX III: STRATEGIC RESEARCH FUND APPLICATION FORM

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

Example: The project number TA 01-RF01-0001

TA01 Agriculture Research Thematic Area,

RF01 Improve production and productivity

0001 First project

(Refer to Appendix I for codes)

1. PROPOSAL DETAILS

Project Code: *for Administration use only*:



NATIONAL SCIENCE AND TECHNOLOGY COUNCIL

APPLICATION FOR A RESEARCH GRANT UNDER THE STRATEGIC RESEARCH FUND (SRF)

PART 1: GENERAL INFORMATION

1.1 Research Project Information

Please indicate with an "x" the relevant Category of your research project

Thematic Areas	Thematic Area Code	Research Field	Research Field Code	Mark "X" (Please mark only one)
Agriculture	TA 01	Improve production and productivity	01	
		Enhance agriculture value chains	02	
		Promote diversification within the agriculture sector	03	
		Indigenous Knowledge Systems	04	
Mining	TA 02	Promote exploitation of gemstones and industrial minerals	01	
		Promote local and foreign participation in mining value chains and industrialization	02	
		Promote petroleum and gas exploration	03	
		Promote small-scale mining	04	
		Indigenous Knowledge Systems	04	

Tourism	TA 03	Promote diversification of tourism products	01	
		Restock national parks	02	
		Archeological research	03	
		Indigenous Knowledge Systems	04	
Energy	TA 04	Enhance generation, transmission and distribution of electricity	01	
		Promote renewable and alternative energy	02	
		Indigenous Knowledge Systems	04	
Transport and infrastructure	TA 05	Promote alternative road construction materials	01	
Water Resources Development and Management	TA 06	Enhance rain water harvesting and catchment protection	01	
		Promote local and trans-boundary aquifer management	02	
		Water and sanitation	03	
		Indigenous Knowledge Systems	04	
Information and Communication Technology	TA 07	Software development	01	
		Bioinformatics	02	
		Cyber security	03	
		Electronic waste management	04	
Industry	TA 08	Material science	01	
		Design and Manufacturing	02	
		Value addition technologies	03	
		Reverse engineering	04	
Health	TA 09	Non-communicable diseases	01	
		Maternal diseases	02	
		Nutritional diseases	03	
		Indigenous knowledge medicine and systems	04	

Environment	TA 10	Waste management	01	
		Deforestation and desertification	02	
		Climate change mitigation and adaptation	03	
		Indigenous Knowledge Systems	04	
Space Sciences	TA 11	Space Weather Studies	01	
		Earth Observation	02	
		Planetary Science	03	
		Environmental	04	
		Agriculture sciences	05	
		Natural resources management	06	
Social Sciences	TA 12	Social and economic studies	01	
		Policy studies in STI	02	
		Gender in STI	03	
		Indigenous Knowledge Systems	04	

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

Desired Starting Date:

Desired Completion Date:

	Year 1	Year 2	Year 3	TOTAL
Total Budget ZMW:				

1.2. Particulars of Principal Investigator, Co-investigators and Collaborators

Name of Principal Investigator:			
Title Prof, Dr. Mr. Mrs. Ms etc.:			
Gender:			
Name of Institution (where applicable):			
Dept./Faculty:			
Type of Institution (Public/Private)			
Address:			
Phone No.:	Land line:	Mobile:	
E-mail:			
Signature:	Date:		
Name of Institution/Department Head (where applicable):			
Signature:	Date:		
Official stamp:			

Name of Co-Investigator:		
Title i.e. Prof, Dr. Mr. Mrs. Ms etc.:		
Gender:		
Name of Institution (where applicable):		
Dept./Faculty:		
Type of Institution (Public/Private)		
Address:		
Telephone No.:	Land line:	Mobile:
E-mail:		
Role on the project		
Signature:	Date:	

(Repeat for all Co-Investigator)

Name of Collaborator:		
Title i.e. Prof, Dr. Mr. Mrs. Ms etc.:		
Gender:		
Name of Institution (where applicable):		
Dept./Faculty:		
Type of Institution (Public/Private)		
Address:		
Telephone No.:	Land line:	Mobile:
E-mail:		
Role on the project		
Signature:	Date:	

(Repeat for all Collaborators)

(The submitted application form should contain the signature of the submitting Principal Investigator, that of his/her Head of Department as well as all the Collaborators. An application will automatically be disqualified if it does not contain the endorsement of all indicated collaborators)

PART 2: ABSTRACT

A brief outline of the proposal explaining the significance of the proposed research, objectives, anticipated outputs and outcomes and potential benefits of the project. **The Abstract should not be more than 300 words. (Weighting: 5 points)**

(Extend space)

PART 3: DETAILED RESEARCH PROPOSAL

A detailed Research Proposal should be typed in the spaces below, describing the proposed work in such a way as to be comprehensible to a non-specialist in the research field.

3.1 INTRODUCTION (Background to the proposed research **(Not more than 300 words)** *(Weighting: 5 points)*)

(Extend space)

3.2 PROBLEM STATEMENT WITH CLEARLY DEFINED RESEARCH QUESTION (S) (Indicate the problem under investigation and the research question(s) **(Not more than 200 words)** *(Weighting: 6 points)*)

(Extend space)

3.3 LITERATURE REVIEW (Critically review relevant existing literature in the same field and identify the knowledge gaps that the proposed research will address. Use the Harvard style when citing literature; e.g. Bolan *et.al*, 2011). **(Not more than 800 words)** *(Weighting: 8 points)*

(Extend space)

3.4 RATIONALE/JUSTIFICATION Linkage of the proposed research to national research and developmental priorities) (Not more than 250 words) *(Weighting: 8 points)*

(Extend space)

3.5 OBJECTIVES (Concisely outline the main objective and specific objectives. Please ensure that the specific objectives are measurable and achievable (SMART concept) *(Weighting: 6 points)*

(Extend space)

3.6 METHODOLOGY (Indicate the method(s) to be employed, i.e. how the research will be carried out including design, materials, data collection tools and analysis) *(Weighting: 16 points)*

(Extend space)

3.7 EXPECTED OUTPUTS (Concisely indicate the expected **outputs** from the proposed research) *(Weighting: 5 points)*

(Extend space)

3.8 EXPECTED OUTCOMES (State the potential benefits of the research, clearly indicating who the beneficiaries of the study will be and how they will benefit) *(Weighting: 5 points)*

(Extend space)

3.9 ASSUMPTIONS AND RISKS (state the factors that will drive the execution of this research and the potential risks and how they will be mitigated. *(Weighting: 5 points)*

(Extend space)

3.10 CAPACITY BUILDING (clearly indicate how the proposed research intends to build human capacity and improve research facility(s)) *(Weighting: 4 points)*

(Extend space)

3.11 DETAILED WORK PLAN *(Weighting: 5 points)*

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 (see example below)

Activity	Year 1												Budget	
	1	2	3	4	5	6	7	8	9	10	11	12		
Sample collection	x	x												10,00.00
Sample analysis			x											8,000.00

Activity	Year 2												Budget	
	1	2	3	4	5	6	7	8	9	10	11	12		
	x													
		x												

Activity	Year 3												Budget	
	1	2	3	4	5	6	7	8	9	10	11	12		
	x													
		x												

3.12 DETAILED BUDGET (Weighting: 10 points)

Provide a **detailed** activity budget breakdown; **itemising** and estimating **all** anticipated costs (do not put lump sum figures)

Item	Quantity	Unit cost	Total cost	Percentage of total budget	Budget justification (Explanatory remarks)
5% Administrative cost					
5% M&E					
TOTAL					

3.13 REFERENCES (Weighting: 5 Marks)

Example of Journal citation

Bolan NS, Park JH, Robinson B, Naidu R, Huh KY. 2011. Phytostabilization: a green approach to contaminant containment. *Advances in Agronomy* **112**:145–204.

Example of Book chapter citation

Reeves RD, Baker AJM. 2000. Metal accumulating plants. In: Raskin, I., Ensley, B.D. (Eds.), *Phytoremediation of Toxic Metals: Using Plants to Clean Up the Environment*. John Wiley and Sons Inc., New York, pp. 193–229.
(Extend space)

PART 4: APPENDICES

4.1 Summary of Budget (please indicate only where applicable)

NO	EXPENSES	Year 1	Year 2	Year 3	Total
1	Research Materials and Supplies				
2	R&D Equipment and Accessories				
3	Local Travel				
4	Transportation and shipment of research materials				
5	Human Resource Development				
6	International Travel				
7	Special Services				
8	Administrative cost (5% of total budget)				
9	Monitoring and evaluation (5% of total budget)				
	Grand Total				

4.2 BIOGRAPHICAL AND PROFESSIONAL INFORMATION (Weighting: 7 points)

Provide a one to two paged of 12 font, Calibri, single spaced abbreviated **Curriculum Vitae** for the Principal Investigator and for **each Co-Investigator and Collaborator**, showing the relevance of the researchers' professional backgrounds to the proposed research. The CV should include the following, but sighting **only information that is relevant to the proposed research project**: ***Attachment of an entire CV(s) will lead to disqualification of the application***

- i. Names and nationality
- ii. Academic and Professional training relevant to the proposed research project (including names of institutions, years of study, certificates obtained)
- iii. Professional experience relevant to the proposed research project (indicating names of institutions and companies worked for and the period worked, including roles played at each institution).
- iv. Selected research areas of specialisation (summary of research in which the researcher has been involved, relevant to the proposed research project)
- v. Publications and patents relevant to the proposed research project.
- vi. Any additional detail relevant to the proposed research project, which may assist in evaluating the professional background of the researcher.

APPENDIX III: STRATEGIC RESEARCH FUND GRANT AGREEMENT



NATIONAL SCIENCE AND TECHNOLOGY COUNCIL

STRATEGIC RESEARCH FUND GRANT AGREEMENT

SIGNED BETWEEN

THE NATIONAL SCIENCE AND TECHNOLOGY COUNCIL

AND

.....
THE RECIPIENT

OF THE STRATEGIC RESEARCH FUND GRANT

AND

.....
THE INSTITUTION OF AFFILIATION

AT LUSAKA, ZAMBIA

20.....

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 (ZMW).

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

SRF Grant 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;

Strategic Research Grant:

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

Grant:

Means the total amount of money that the Council agrees to pay for the implementation of the Project under the Strategic Research Fund.

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

Principal Investigator:

Means the Grant Recipient

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.

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;

1.0 PREAMBLE

The Government, through the Ministry of Higher Education (MoHE) established the Strategic Research Fund (SRF) to support basic and applied research in areas of strategic national priority. The Fund is managed by the Fund Management Committee (FMC) based at MoHE, while the implementing agency is the National Science and Technology Council (NSTC).

The National Science and Technology Council hereinafter referred to as **the 'Council'**, being desirous and in fulfilment of its mandate to promote scientific research and technological innovations in Zambia will disburse research grants to various Researchers (hereinafter called the **'Recipient(s)'**) to support various science, technology and innovation research projects. The recipients shall be affiliated to an institution hereinafter referred to as **'The Institution of Affiliation'**. The Council, the Recipient and the Institution of Affiliation shall collectively be referred to as **'The Parties'**. The Funds will be disbursed through the Strategic Research Fund (SRF) administered by the NSTC.

2.0 PROVISIONS OF THE AGREEMENT

2.1 In view of the above, the **Council**, therefore, **agrees** to

provide in Zambian Kwacha an amount of: (Amount in words):

.....
.....
.....

(Amount in figures):

ZMW.....
.....

2.2 To the Recipient:

Title:

Surname:

First Name(s):

National Registration Card No.

Postal Box No:

Physical Address:

.....

Phone No.:

Email Address:.....

2.3 in order to undertake scientific research and as contained in the **Approved Project Proposal** which forms an integral part of this **Agreement**.

2.4 The Recipient **agrees** to receive and spend, under the supervision and control of the **Council** and the **Institution of Affiliation**, the allocated funds in accordance with the approval given by the **Fund Management Committee**.

2.5 The title of the Project funded under this SRF Grant **Agreement** is

.....

.....

2.6 The Project address shall be at

3.0 CONDITIONS FOR THE GRANT AWARD

3.1 Institutional Affiliation of the Recipient

3.1.1 Where the Recipient is not a bonafide institution, the Recipient **agrees** to be affiliated to a well established research institution/centre, university or professional organization for enhanced professional interaction and additional financial and technical oversight.

3.1.2 The Institution of Affiliation **agrees** to participate in the management of the technical and financial aspects of the project.

3.2 Disbursement of funds

3.2.1 The grant shall be disbursed in **installments**. The first installment, will be disbursed on request through the Institution of Affiliation, and will depend upon submission of an **Inception Report** detailing the activities, workplan and budget for the first phase of the project. The inception report shall be submitted to the Council within 10 working days of signing this SRF Grant Agreement.

3.2.2 The subsequent installments shall be upon **request**. The release of these installments will depend on the submission of a **progress report** (technical; including milestones achieved and financial; including valid receipts; and other payment vouchers for the previous installment);

3.2.3 The mode of disbursement shall be by **Cheque or Bank Transfer** and shall be paid to a bank account mutually **agreed** upon by the Council and the Institution of Affiliation;

3.2.4 Failure to retire/account for any disbursement, the institution of affiliation shall be liable to refund such disbursement in full to the Council or relevant provisions of the Public Finance Management Act No.1 of 2018 shall be evoked in this event.

3.2.5 At the completion of the project, any **unutilised funds** shall be returned to the Council together with receipts and other payment vouchers for the component of the funds which have been spent;

3.2.6 **Equipment** purchased under the SRF grant shall remain property of the **Institution of Affiliation** after successful completion of the project;

3.3 Reports

3.3.1. Technical Reports

A. The Recipient, through the Institution of Affiliation, shall submit to the Council a Technical Progress Report within twentyone (21) days after completion of each project phase. The technical progress report shall describe milestones achieved.

B. All Technical Reports submitted pursuant to this Agreement shall be certified and verified as correct by the Institution of Affiliation.

3.3.2 Financial Reports

A. The Recipient, through the Institution of Affiliation, shall submit to the Council a Financial Report within twenty one (21) days after completion of each project phase.

B. All Financial Reports submitted pursuant to this Agreement shall be certified and verified as correct by the Institution of Affiliation.

3.3.3 Project Completion Report

The Recipient, through the Institution of Affiliation, shall submit to the Council a Project Completion Report comprising technical and financial reports within three (3) months of completion of project activities.

3.3.4 Failure to submit Project Completion Reports, section 3.2.4 shall apply.

3.3.5 Dissemination of Research Results

- A. While cognisant of the need to protect **Intellectual Property (IP)**, the Recipient shall, where infringement on intellectual property rights is not involved, present findings of their research at national scientific fora.
- B. The findings may also be presented at other fora subject to agreement by the Recipient, the Institution of Affiliation and the Council.

3.4 Variations

3.4.1 Change of Scope of Work and/or Budget

- A. **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 the Council.
- B. The NSTC shall not be obliged to approve any proposed variation and shall have an absolute discretion in deciding whether or not to grant its approval.

3.4.2 Change of Principal Investigator and Institution of Affiliation

- A. There shall be no changes or substitutions for the Principal Investigator and the Institution of Affiliation without prior written approval of the Council.
- B. If for any reason beyond reasonable control, it becomes necessary to replace the Principal Investigator, the Institution of Affiliation shall provide a suitable replacement, with the Council's consent in writing.

3.4.3 Change of Collaborators

There shall be no changes or substitutions for the Collaborator/s (if any), unless with the prior written approval of the Council.

3.5 Maintenance of and Access to Records

3.5.1 Maintenance of Records

- A. The Recipient and the Institution of Affiliation shall be required by this Agreement, to keep and maintain, to the Council's satisfaction, proper records of all scientific works undertaken, including but not limited to, laboratory note books, field entry forms, instrument generated reports, photographs, copies of Technical Progress, and Final Reports .
- B. The Recipient and the Institution of Affiliation shall be required by this Agreement, to keep and maintain, to the Council's satisfaction, proper books of accounts and operating records necessary to afford a correct record and explanation of all expenditure on the Project.
- C. The Recipient and the Institution of Affiliation shall, unless the Council otherwise agrees in writing, retain all scientific and accounting records relating to the Project for ten (10) years after the Completion of the Project or earlier termination of the Agreement.

3.5.2 Access to Records

- A. The Recipient and the Institution of Affiliation shall at all times permit the Council, it's officers, agents and authorized representatives, access to the work site and records.
- B. The Recipient and the Institution of Affiliation 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.
- C. The Recipient and the Institution of Affiliation agree to provide receipts and other payment vouchers related to all expenditures, the **originals** of which shall be submitted together with the Progress Reports, and shall remain property of the Council.

3.6 Monitoring and Evaluation of the Project

3.6.1 The Recipient and Institution of Affiliation **agree** to allow **Monitoring and Evaluation** teams from the Council to inspect the work that has been funded wholly or partially by the Council and that **5%** of the total project budget shall be reserved for monitoring purposes.

3.6.2 The Fund Management Committee through its authorized representatives has the right, at all reasonable times, to make site visits to review the Project accomplishments and management control systems. If any site visit is made by the Fund Management Committee to the premises of the project, or other premises where the Project may be conducted, the Recipient and the Institution of Affiliation shall provide reasonable assistance to the Fund Management Committee and its authorized representatives in the performance of their duties.

3.7 Project Intellectual Property

3.7.1 Preparation and Filing of Project Intellectual Property

Where applicable, the Recipient shall prepare and file intellectual property application with the relevant organizations.

3.7.2 Ownership and Protection of Project Intellectual Property

A. The ownership of any project Intellectual Property shall be agreed upon by the Recipient, the Institution of Affiliation and the Council.

B. The Recipient shall ensure that, subject to the notification to the Council and the Institution of Affiliation, 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.

3.8 Force Majeure

3.8.1 Neither the Council nor the Recipient nor the Institution of Affiliation shall be in breach of its obligation under this Agreement if it is unable to perform its obligation under this Agreement (or any part thereof), as a result of the occurrence of an Event of Force Majeure.

3.8.2 An Event of Force Majeure shall mean: –

- A.** War (whether declared or not), hostilities, invasions, armed conflict, act of foreign enemy, rebellion, insurrection, revolution, terrorism or usurped power;
- B.** Ionization, radiation or contamination by radioactivity from any nuclear waste, from combustion of nuclear fuel, radioactive toxic, explosive, nuclear assembly or nuclear competent thereof;
- C.** Pressure waves caused by aircraft or other aerial devices travelling at sonic or supersonic speed;
- D.** 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 Party, which cause, or can reasonably be expected to cause, any party to fail to comply with its obligations under this Agreement; and
- E.** Natural catastrophes including but not limited to earthquakes, floods, subsidence, lightning and exceptionally inclement weather and subterranean spontaneous combustion.

3.8.3 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 Parties immediately of the occurrence of that event of Force Majeure with full particulars thereof and the consequences thereof.

- 3.8.4** 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.
- 3.8.5** 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.
- 3.8.6** Neither Party shall be entitled to rely upon the provisions above if all Parties reasonably determine that an Event of Force Majeure has not occurred.
- 3.8.7** For avoidance of doubt, the Parties shall continue to perform those parts of those obligations not affected, delayed or interrupted by an Event of Force Majeure and such obligations shall, pending to the outcome of this clause continue in full force and effect.

3.9. Dispute Resolution

- 3.9.1** Any matter, claim or dispute among 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 or his/her designate as Chair;
 - ii. two representatives appointed by the Council;
 - iii. two representatives appointed by the Recipient;
 - iv. two representative appointed by the Institution of Affiliation; and
 - v. two representatives appointed by Fund Management Committee.

3.9.2 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.

3.9.3 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.

3.10 Termination of Agreement

Termination by the Council

The Council may terminate this Agreement under the following circumstances:

3.10.1.1 Where an Inception Report is not submitted within three months after official award of the grant;

3.10.1.2 Where the project does not reach its milestones over three consecutive progress reports;

3.10.1.3 Where the funds are misapplied, the grant will be withdrawn and the misapplied funds shall be refunded to the Council by the Recipient and the Institution of Affiliation,

3.10.1.4 Where the project is not completed over the agreed duration, a six (6) months grace period shall be given, after which the grant shall be withdrawn.

3.10.1.5 Termination of Agreement on National Interest

A. Notwithstanding any provision of this Agreement, Council may terminate this Agreement by giving not less than thirty (30) days notice to that effect to the Recipient and the Institution of Affiliation (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.

- B. 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 Council 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, Council shall recover all the funds that are not spent.

13.11 Termination by the Recipient or Institution of Affiliation

- 13.11.1** If the Council without reasonable cause fails to perform or fulfil any of its obligations which adversely affects the **Recipient or Institution of Affiliation** obligations under this Agreement, then the **Recipient or Institution of Affiliation** may give notice in writing to the Council specifying the default and the Council shall remedy the relevant default within thirty (30) days after receipt of such notice or such other extended period as agreed by the Parties.
- 13.11.2** If the Council fails to remedy the relevant default within such period or other extended period as agreed by the Parties, the **Recipient or Institution of Affiliation** shall be entitled to terminate this Agreement at any time by giving notice to that effect.
- 13.11.3** Upon such termination, the **Recipient or Institution of Affiliation** shall accept the following undertaking by the Council as full and complete settlement of all claims for payment under or arising out of this Agreement:
- i. the Council shall pay the **Recipient or Institution of Affiliation** 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 Council shall be entitled to deduct such sum due to the Council from the **Recipient or Institution of Affiliation** under this Agreement;

ii. the Recipient or Institution of Affiliation shall cease to execute the scope of works to the Council.

3.12 Duration of the Project

The estimated date of **commencement** of the Project is

.....

and the estimated date of **completion** is

.....

Signed: Grant Recipient

Name (Prof, Dr, Mr, Mrs, Ms):

Signature:

Date:

Signed: Witness for Grant Recipient (If not a bonafide employee of the Institution of Affiliation)

Name (Prof, Dr, Mr, Mrs, Ms):

Signature:

Date:

Signed: For Institution of Affiliation

Name of Institution:
.....

Name of Officer (Prof, Dr, Mr, Mrs, Ms):

Position:

Signature:

Signed: Witness for Institution of Affiliation

Name (Prof, Dr, Mr, Mrs, Ms):

Position:

Signature:

Date:

Date:..... Stamp:

Signed: Witness for NSTC

Name (Prof, Dr, Mr, Mrs, Ms):

Position:

Signature:

Date:

Five copies of this Agreement shall be signed by all parties concerned and distributed as follows:

1. The Grant Recipient
2. The Council
3. The Institution of Affiliation
4. The Department of Science & Technology
5. The Fund Management Committee (SRF)

For enquiries, please contact:

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Long Acres
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Lusaka
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Fax: +260-211-257194
E-mail : nstc@nstc.org.zm
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