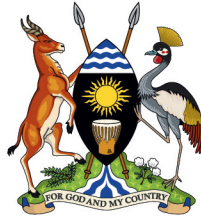




UGANDA NATIONAL COUNCIL  
FOR SCIENCE & TECHNOLOGY



THE REPUBLIC OF UGANDA

# UGANDA NATIONAL COUNCIL FOR SCIENCE & TECHNOLOGY

## RESEARCH & TECHNOLOGY DEVELOPMENT GRANTS OPERATIONS MANUAL





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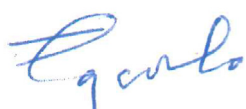
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## FOREWORD

Significant Research and Development (R&D) has been undertaken in Uganda but a lot more needs to be done if research and technology development is to spur economic and social transformation in this country. The majority of high-quality research and technology development activities in Uganda are carried out by a small number of research institutes especially in the field of agricultural and medical sciences. Ugandan scientists who have made world-class discoveries in HIV/AIDS prevention and vaccine trials, agricultural productivity, agro-processing, value addition among others, have done so mainly with support from foreign funding sources. Uganda's government expenditure on R&D has risen from 0.3% of GDP in 2005/06 to 0.65% in 2015/16, which is indicative of the significant commitment the government has to this aspect of the Research and Technology Development sector. This however is still below the 1% recommended by the African Union.

UNCST will, in consultation with other sectors of the economy, spearhead national efforts to increase research productivity and commercialization through issuing and managing competitive R&D grants. These grants are aimed at stimulating and supporting scientific and technological developments which have applications in several science disciplines. Resources and Technology Development activities shall be directed towards maximizing science and technology contribution to the creation of wealth and addressing pressing societal needs. Private sector investment and international partnerships in R&D mechanisms will likewise be encouraged.

The Government of Uganda is committed to supporting Research and Development activities in line with the UN Sustainable Development Goals, the Uganda Vision 2040, the National Development Plan II 2015/16-2019/20, the National STI Policy 2009 and the NRM Manifesto 2016-2021 and calls upon all stakeholders to join hands with the Uganda National Council for Science and Technology in the implementation of the research and development programmes for a sustainable and progressive bio-economy. There can never be enough resources to fund all the research possible, hence UNCST grant award system is guided by transparent award procedures that focus on needs, expected impact on national development and time after which the outcome of the research will be availed among others.



Dr Theresa Sengooba  
CHAIRPERSON, GOVERNING COUNCIL  
UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

## PREFACE

This document is meant to guide scientists, researchers and technology developers in the preparation of proposals and implementation of research and product development projects as well as those preparing to undertake basic, applied, technology transfer, or commercialization projects in collaboration with the UNCST.

This Operations Manual has been integrated with the Programme Implementation Plan (PIP) and thus details the standards, policies and procedures to be followed in the organization and implementation of research and technology development grants at UNCST.

Grant applicants are advised to read this guide to ensure that they fulfill the necessary prerequisites in preparing and submitting applications, and are familiar with the UNCST general policies and guidelines concerning research and technology development grants. By acceptance of an award, a grantee agrees to comply with the guidelines and procedures set forth in this manual and in future applicable editions.



Dr Peter Ndemere  
EXECUTIVE SECRETARY  
UGANDA NATIONAL COUNCIL FOR SCIENCE AND TECHNOLOGY

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These guidelines are prepared by Uganda National Council for Science and Technology (UNCST). Additional information regarding the guidelines may be obtained from UNCST, P. O. Box 6884, Kampala. Telephone: 256-414-705500; Fax 256-414-234579; E-mail: [info@uncst.co.ug](mailto:info@uncst.co.ug); or from the UNCST website: [www.uncst.go.ug](http://www.uncst.go.ug), under the “Key Documents” section of the UNCST online grants management system.



## ACRONYMS

GoU	Government of Uganda
MOSTI	Ministry of Science, Technology and Innovation
PI	Principal Investigator
PIP	Programme Implementation Plan
NDP	National Development Plan
R&D	Research and Development
RTD	Research and Technology Development
S&T	Science and Technology
STI	Science, Technology and Innovation
STIRDS	Science, Technology, Innovation Research and Development Support Division
TC	Technical Committee
UIRI	Uganda Industrial Research Institute
UNCST	Uganda National Council for Science and Technology

## GLOSSARY

**Applicant:** A person/entity that makes a formal application, in this case for a research and technology development grant.

**Bio-sketch:** A biographical sketch is a short summary of an individual's character, life and achievements.

**Contracting Authority:** A body concerned with the undertakings of the state either directly or indirectly, governed by public law. For the purpose of this manual, the Contracting Authority is UNCST.

**Grant:** A direct financial contribution, by way of donation, meant to finance an action or operation geared towards the achievement of a specific objective as proposed to the Contracting Authority by an applicant.

**Grant Contract:** A legally binding agreement between the Contracting Authority and the beneficiary (grantee) constituting all rights and duties of both parties.

**Grants Management Team:** Officers in charge of the day-to-day implementation of grant procedures, provisions and policies.

**Grantee:** A grant recipient/ beneficiary, either a natural person or entity with whom a grant contract has been signed.

**Innovator:** A person who introduces new ideas or develops a new product, design, process or service.

**Intellectual Property (IP):** The creation of the mind of which a state grants the owner exclusive rights.

**Laboratory Assistant:** An individual who has received training/ certification/ licensing required to provide support in laboratory tests and/or experiments for a particular field.

**Patent:** An exclusive right to a product or process that generally provides a new way of doing something or offers a new technical solution to a problem.

**Principal Investigator:** The holder of an independent grant and the lead researcher for the grant project primarily responsible for the preparation, conduct and administration of grant activities, in compliance with applicable laws and regulations.

**Research:** An investigative study undertaken to increase knowledge, establish facts or reach new conclusions regarding a particular problem or to develop a new process/ product.

**Research Assistant:** An individual who, employed on a temporary basis, purposefully undertakes prescribed tasks as per his/her contract with a research institute, organization or university.

**Researcher:** Originator or developer of ideas who draw on their knowledge and understanding of industry requirements to inquire into a problem and present their findings to a wide audience.

**Salary Top-Up:** Official cash payment a project staff receives in addition to what s/he is usually paid by his/her employer for undertaking specific project tasks. The staff top-up is paid by the Contracting Authority to a maximum of five (5) project staff.

**Technical Assistance:** Non-financial assistance provided by the Contracting Authority and/or experts. It can take the form of sharing information and expertise, instruction, skills training, transmission of working knowledge, and consulting services and may also involve the transfer of technical data.

**Technical Committee:** A team of qualified S&T experts from an appropriate diversity of backgrounds, contracted for the evaluation of grant applications and generating a shortlist of successful applicants.

## I.0 INTRODUCTION

### 1.1 Background

Uganda seeks accelerated economic growth and improved social well-being. Its national development strategy is centered around transforming the economy and transitioning into a lower middle-income country by the year 2020. Development of such an economy puts high emphasis on the production, transfer and application of scientific knowledge. National governments, development partners, civil society and private sector entities around the world have expressed growing interest in embracing scientific research to optimize technology development and adaptation. Demand is high for innovative approaches with which to assess causal mechanisms, to evaluate policy and program impacts and to guide S&T interventions for economic growth and development.

The Uganda National Council for Science and Technology (UNCST) is a Government of Uganda (GoU) agency, under the Ministry of Science, Technology and Innovation (MOSTI). The Council is mandated to facilitate and coordinate the development and implementation of policies and strategies for integrating Science and Technology (S&T) into the national development process.

Research and Technology Development (RTD) grants support scientific research across all domains of science including projects in the basic, applied, incubation and commercialization stages, and in line with the priorities indicated in the STI Policy 2009, NDP II 2015/16-2019/20 and Uganda Vision 2040. These research and technology development grants aim to accelerate the development of a robust and coherent scientific evidence base which will support effective policy and investments in research and development systems and effective industrial research uptake and utilization.

Upon completion of the R&D phase of their projects, grantees are expected to utilize the projects' business plans as road maps to upscaling and commercialization of their prototypes. The UNCST working closely with MOSTI, UIRI and other stakeholders in the STI sector should provide support in bridging the gap between research, technology development and commercialization through the provision of incubation centers, S&T parks that will ensure that the grantee programmes lead to employment creation, inclusive development and steady economic growth as indicated in the NRM Manifesto 2016-2021 and the United Nations Sustainable Development Goals.

### 1.2 Context

Supporting relevant research through research and technology development grants can promote positive economic transformation and improvement in key sectors such as education, health, agriculture, energy, water and sanitation for the Ugandan society. The application of science can stimulate the economy through technology development in areas such as agricultural production, industry, communications, and health care; and the local products and technologies can lead to the birth of vigorous new companies to market them. Thus, the support to research and technology development projects offers the Government of Uganda an invaluable opportunity to invest in those science and technology initiatives that are innately relevant for national development.

The competitive nature of research and technology development grants ensures that they are awarded to the most productive research teams working on the most relevant topics. The award criteria emphasizes the importance of linking research to industry, so that the output is increased prototypes as well as new knowledge. Recipients would use the grants to turn their existing facilities into small but flexible centers of research and development excellence for their particular domains.

Uganda's public resources are limited and yet its needs are great. It must therefore build its science and technology system in a way that is most cost-effective and owned by the country. Research and technology development grants are devised as a competitive and transparent mechanism to fund researchers with activities on research and technology development efforts devoted to generating new knowledge and its translation into solutions in the S&T field as determined by a Panel of Technical Experts in the specific field of interest. Other built-in accountability measures provide further safeguards for ensuring research quality and impact from the grants programme.

### **1.3 Vision and Mission**

The vision of this facility is a prosperous Science and Technology led Ugandan society. The mission is to build capacity in and mobilize the population to embrace Research and Technology Development so as to enhance economic transformation, prosperity, and human development.

### **1.4 Objectives of the Research and Technology Development Grants**

A grant is a direct financial contribution, by way of donation, in order to finance actions intended to support achievement of specific objectives. Grants are made for an operation which is proposed to the Contracting Authority (UNCST) by a potential beneficiary ("applicant") and which falls within the normal framework of the beneficiary's activities. Grants are not meant to finance the normal functioning of the beneficiary's body.

The goal of the research and technology development grants is to make transformational investments that have a demonstrable potential to generate significant and sustainable economic, social and environmental benefits to Uganda.

The objectives of this grants programme include the following:

- a. To strengthen Uganda's research and technology development capabilities and performance in the medium term.
- b. To support the uptake of research results so as to enhance national productivity and growth.
- c. To strengthen Uganda's human resource and research productivity for social economic transformation.
- d. To support the growth of Micro, Small & Medium Enterprises (MSMEs) by supporting Research and Development (RDI) initiatives using multidisciplinary and multi-sector research teams.

### **1.5 Scope of the Grants Facility**

The facility supports several priority projects in the fields of Agriculture and Allied Sciences, Industry and Engineering, Environment and Natural Resource Management, Health and Nutrition, Information and Communications Technology on an annual basis. Applications are assessed on a competitive basis, to optimize the contribution made through Government investments in the national development goals.

The projects should have a clear indication of their contribution to (1) gross domestic product (GDP), (2) employment creation, (3) government revenue, (4) trade competitiveness, and (5) efficient service delivery. The facility supports activities on research and technology development efforts devoted to generating new knowledge and its translation into solutions in the S&T field as determined by a panel of technical experts in the specific field of interest.

A wide range of proposals that address the objectives outlined above are considered, based on selection criteria explained in the subsequent section. Each grant proposal is assessed vigorously in order to attain value for money.

## 2.0 GRANT OPERATIONS

### 2.1 Purpose, Scope and Application of the Manual

The purpose of the manual is to provide the basic set of principles, processes and applicable rules in line with commonly accepted national and international standards. These standards and procedures are designed to:

- Provide detailed guidance on the grants management processes for applicants;
- Provide uniform procedures for the research and technology development grants management facility;
- Ensure transparency and accountability in all operations, and consistency with the guidelines of partners where necessary and;
- Improve the efficiency, effectiveness and consistence in the grants management practices

The manual covers a standard granting/funding cycle; from preparation of a call to contract implementation and evaluation mechanisms.

### 2.2 Structure of this Manual

For ease of use, the manual is separated into sections:

- 1. Introduction;** covering the background, vision and scope of the Research and Technology Development Grants Facility
- 2. Grant Operations** which includes; the purpose, application and structure of the manual
- 3. Research and Technology Development Grants Operating Principles** including; the code of ethics, responsibilities and obligations
- 4. Programme Administration** required for grants management planning and implementation
- 5. Granting Process;** including the selection process, from preparation of calls to signing contracts with grantees
- 6. Research Grant Activities;** that covers the day to day grant management activities
- 7. General issues;** this includes the additional guidelines and annexes

### 2.3 Revisions to the Grants Manual

Considering the nature of the different Research and Technology Development Programmes as well as the legal, financial, budgetary processes among others, the contents of this manual may be subject to routine reviews. A number of other factors may imply a need for revision of this manual including:

- Revision of the UNCST financial, procurement and human resource manuals (procedures/processes);
- Review of eligibility criteria and general STI sector policy changes;
- Adaptation to certain rules resulting from negotiations with implementation partners;

Procedures and implementation of amendments to this Grants Manual are the responsibility of the UNCST Grants Management Team.

## 3.0 RESEARCH AND TECHNOLOGY DEVELOPMENT GRANTS OPERATING PRINCIPLES

The award of research and technology development grants is fundamentally subject to the principles of transparency and equity as a value. Funding is implemented according to international best-practice rules for competitive allocation of resources. The programme design has been guided by and its implementation adheres to the following principles:

### 3.1 Transparency and Equity

Project rules and procedures will be widely and readily disseminated, and information on the research and technology development grants will routinely be made publicly available in a timely manner. The grant award process is completely impartial, with the call for proposals and guidelines published on the internet or through other appropriate media channels (print, radio and television) ensuring a national coverage.

Additionally, the research and technology development (RTD) grants facility encourages active participation of all women and men, youth, children, the elderly and disadvantaged or special groups of people in research and technology development. Any attempt by an applicant to gain preferential treatment or influence the process in any way (whether by initiating contact with members of the Technical Committee or otherwise) will result in immediate exclusion of his/her proposal from further consideration in the entire process from the stage where influence is noted.

### 3.2 Merit Based Selection

Grant recipients are chosen according to clearly defined criteria, disseminated in all published calls. Proposals are evaluated and reviewed by an independent Technical Committee comprising of qualified scientific experts and substantive feedback on proposals is provided to all proponents.

### 3.3 Relevance to National Needs

Relevance to national needs is crucial, including improvement of fundamental science, is a principle selection criterion.

### 3.4 Avoidance of Conflict of-Interest

Members of the Technical Committee and other decision-makers will not decide on issues in which they have a material interest in the outcome. Members of the UNCST Management, the Technical Committee, and the UNCST Secretariat are not eligible to compete for or participate in the funding facility's grant activities.

All officers serving on the Grants Management Team are required to, immediately after the opening of proposals, declare any personal interest that may affect or may reasonably be deemed by others to affect impartiality in any matter relevant to their duties. Additionally, a UNCST officer shall not use his/her authority or office for personal gain when dealing with current or potential grant beneficiaries and has the duty to report any unethical conduct by a colleague or an applicant.

### **3.5 Safe and Ethical Research Activities**

Funded research and technology development teams and other participants shall adhere to appropriate programme-specific and national guidelines on safe and ethical conduct of research. Grant recipients who anticipate conducting special experiments/tests on human or animal subjects during project activities must obtain clearance from the responsible authority.

### **3.6 Accountability**

All grantees/beneficiaries are accountable for scientific and technological results, progress toward activity objectives, and use of resources. Regular reporting following the pre-determined formats described in this manual is mandatory for all grantees.

### **3.7 Confidentiality and Accuracy**

Anyone involved in the review and/or evaluation of the research and technology development grant proposals and reports must respect appropriate guidelines for confidentiality of proposals and related information. In this regard, members of the Technical Committee shall sign a declaration of confidentiality and while the call for proposals is under way, must satisfy conditions ensuring confidentiality. All grant management officers shall respect confidentiality of information gained in the course of duty and shall not use such information for personal gain or for the unfair benefit of any applicant. Information given by an officer in the course of duty shall be true, fair and not designed to mislead.

### **3.8 Non-cumulation**

No beneficiary may receive more than one grant financed by the research and development granting facility for a given thematic area of a single grant cycle.

### **3.9 Non-retroactivity**

Grants will as a rule only cover costs incurred after the date on which the grant contract is signed. No grant may be awarded retroactively for actions already completed.

### **3.10 Equal Opportunity/Non-Discrimination**

Grantees shall not engage in any discriminatory practices or those deemed to be discriminatory whether by tribe, gender, race, religion or socio-economic status in accordance with the applicable Ugandan laws and in line with international conventions. The Grantee shall provide equal opportunity to all potential beneficiaries of the Grant.

### **3.11 Promotion of Public Understanding of R&D**

The grantees will as much as possible promote widespread understanding of and appreciation of the contribution of science and technology to national development. This is the gist for the UNCST Research and Technology Development exhibitions where outputs from the grants programme are showcased.



## 4.0 PROGRAMME ADMINISTRATION

### 4.1 Research and Technology Development Grants Management

Management and administration are coordinated by the Grants Management Team supported by the Technical Committee in consultation with the Executive Secretary, UNCST, MOSTI and the UNCST Governing Council.

#### 4.1.1 Ministry of Science, Technology and Innovation

The role of the Ministry of Science, Technology and Innovation (MOSTI) is to appropriate funds through the Ministerial Policy Statement to the grants programme in support of the UNCST's science granting council mandate.

#### 4.1.2 UNCST Governing Council

The UNCST Governing Council is charged with technical oversight and supervision of UNCST activities, including the granting process. The Council therefore, approves budgets and projects selected by the Technical Committee to be funded.

#### 4.1.3 Grants Management Team

The Grants Management Team of UNCST is the focal point to advance external compliance with UNCST grants management policy and guidelines, and enhances compliance oversight by recipient institutions. The team is coordinated by the Science, Technology & Innovation R&D Support Division (STIRDS) of UNCST. STIRDS Division co-opts members from other Divisions of UNCST considering the crosscutting nature of the grants programme which involves research management, finance and procurements, monitoring and evaluation (M&E) among others. The team is also responsible for selecting reviewers with appropriate expertise, who constitute the Technical Committee.

The Grants Management Team supports and guides the implementation of these grants, including advising the Executive Secretary on the scientific and technical matters regarding the implementation of the grants.

The Grants Management Team with support from the Grants Management Unit of STIRDS Division participate in the following activities:

- Preparing the Calls-for-Proposals (CfP) for the grants' portfolio in consultation with the Technical Committee;
- Receiving and registering applicant dossiers and verifying eligibility;
- Rationalizing the proposed activities with the budgets for the selected research projects;
- Drafting the Memorandum of Understanding/research contracts for grant recipients;
- Developing a Monitoring and Evaluation (M&E) framework for the facility's portfolio in consultation with the UNCST Monitoring and Evaluation (M&E) Unit;
- Developing a procurement plan for the facility's portfolio in consultation with UNCST Procurement Unit;
- Developing a financial management plan in consultation with UNCST Finance Division;
- Developing a technical reporting format for the entire facility's portfolio;
- Carrying out site supervision visits to ascertain progress;

- Reviewing the progress reports and other outputs of grants activities toward their stated goals;
- Obtaining, retaining and maintaining appropriate project documentation, authorizing access to files and coordinating management and follow-up actions;
- Interacting with potential applicants, applicants and beneficiaries; managing official correspondence and communication between applicants/beneficiaries and the secretariat;
- Maintaining a database of applicants, reviewers and idea management;
- Ensuring selected peer reviewers stick to the defined evaluation criteria throughout the proposal evaluation process;
- Ensuring timely submission of required grantee reports.

The grants management team also classifies proposals using research areas, research topics and keywords. These are identified from the proposal form, case for support of each proposal or work packages in the applicants' dossiers which detail what research will be carried out. Work-plans are also considered particularly for multidisciplinary proposals. The grants management team then discusses the multidisciplinary proposals to ensure that the full breadth of the proposal is known. This classification helps the grants management team identify suitable reviewers to constitute the Technical Committee.

All officers accorded responsibilities in line with grants management/administration shall maintain and enhance the reputation of UNCST by:

1. Maintaining the highest standard of honesty and integrity in all relationships both inside and outside the UNCST
2. Developing the highest possible standards of professional competence
3. Using funds and other resources for which they are responsible to provide the maximum benefit to the UNCST

#### **4.1.4 Grants Technical Committee**

An inter-disciplinary and inter-sectoral Technical Committee (TC) is appointed by and reports to the Executive Secretary, UNCST through the Head of Science, Technology & Innovation R&D Support Division (STIRDS) of UNCST.

The committee consists of 10 - 15 distinguished scientists selected basing on the focus areas/themes of the research and technology development grants, to aid in the review of grants proposals. The Committee appoints one of its members as a Committee Chair/Convener. The Committee Chair is responsible for coordinating the evaluation process in accordance with the procedures of this guide and for ensuring impartiality and transparency.

Technical Committee members have an appropriate diversity of backgrounds, with balanced representation of scientific, technological, and entrepreneurial areas. At the same time, all TC members have sufficient expertise in research and technology development to enable them to make informed judgments on the scientific and technical merits of projects. The Technical Committee members serve for the duration of the call for research and technology development grants and are paid allowances in line with the UNCST Finance and Accounts Policy. A member of the Technical Committee is required to declare his or her conflict of interest with regard to an application being reviewed and shall not disclose any confidential information about an applicant's protocol.

All members of the Technical Committee shall serve for the entire period for which they are contracted. A member who withdraws from the committee for whatever reason must be replaced following the standard procedure for appointing members of the Technical Committee. Such decisions as well as any decision relating to the replacement of a committee member must be recorded and justified in the evaluation report.

The Executive Secretary UNCST through the Head of Science, Technology & Innovation R&D Support Division (STIRDS) of UNCST has the responsibility for ensuring R&D projects approved by the UNCST Governing Council are carried out in accordance with the research and technology development grant agreements between the UNCST and the Grantees. To this end, the Executive Secretary of the UNCST may, with the non-objection of the Chair of the TC, attend Technical Committee meetings as an observer, and provide relevant information and guidance on project implementation procedures as may be requested by the TC. The Executive Secretary shall not vote nor offer any opinions regarding the technical merit of individual proposals.

The functions of the Technical Committee are:

1. Reviewing the concept and full project proposals and shortlisting finalists for each grant category;
2. Conducting “elevator pitches” with PIs to sieve proposals at preliminary stage or vivas for the project proponents together with their research teams
3. Assessing, scoring and selecting the best proposals for grant awards in accordance with the criteria elaborated herein;
4. Reviewing a consolidated annual report of research grants compiled by the Grants Management Team; and
5. Facilitating the international and national networking goals consistent with the research and technology development grants objectives as appropriate;

The Technical Committee prepares and submits the following reports to UNCST:

- Shortlist of successful applicants from the pool of Concept Proposals to submit full proposals;
- Completion/evaluation report with a shortlist of successful applicants to be considered for funding.

#### **4.1.5 The UNCST Secretariat**

UNCST is the Contracting Authority of the Research and Technology Development Grants Facility on behalf of the Ministry of Science, Technology and Innovation (MoSTI). The Executive Secretary of the UNCST interacts with the Technical Committee on project matters and oversees the participation of the UNCST Secretariat. The Executive Secretary reports to the Research and Technology Development Committee of the UNCST Governing Council and finally to the whole UNCST Governing Council. Members of the Technical Committee and the UNCST Secretariat are not eligible to participate in research and technology development grant activities as project beneficiaries. Former members of the Technical Committee are eligible to participate in research and technology development grant activities 30 days after their terms end.

## 5.0 RESEARCH AND TECHNOLOGY DEVELOPMENT GRANTING PROCESS

The granting process starts with the UNCST issuing a call for concept proposals and ends with the final selection of grantees by the Technical Committee. The initial call for research and technology development proposals is published in the national dairies, and a detailed call is posted on the UNCST website ([www.uncst.go.ug](http://www.uncst.go.ug)) for the duration of the call. The procedure is set out as detailed below.

### 5.1 Selection of Technical Committee Reviewers

The Grants Management Team identifies suitable reviewers with help of the automated reviewer matching process linked to the integrated UNCST online grants management system. Potential reviewers added to the online system basing on their individual research areas, research topics and keywords, reviewer matching then lists individual reviewers who match the classifications on submitted proposals.

Although the system can aid in the identification of reviewers the grants management team uses their expertise and experience in the final selection of members of the Technical Committee. In addition to the above, the grants management team may also identify reviewers by other methods including: using their knowledge of the sector, and checking previous reviewers of similar projects

Once a potential reviewer has been identified the grants management team will consider the following:

- Where possible do a background check on the previous reviews conducted by the reviewer;
- Whether there are any conflicts of interest with the proposed project team, project partners or collaborators.

#### 5.1.1 Selecting Investigator Nominated Reviewers

Principal Investigators may also be asked to nominate three potential reviewers. The Grants Management Team may select a suitable nominee, with expertise closest to the area of research being proposed or one who can provide an opinion on different aspects of the proposal to other reviewers selected.

### 5.2 Call for Concept Proposals

The UNCST invites researchers and innovators to apply for research and technology development grants on a fiscal year basis. Applicants are required to complete a short expression of interest, that is a concept proposal with a maximum of four A4 pages. Applications for grants are only accepted in response to a published call for proposals. Unsolicited applications are not accepted and are not considered. Questions about application requirements can be directed to the UNCST Grants Office.

### 5.3 Receipt, Registration and Compliance Checks

Once proposals are received by UNCST they are routed to the appropriate area/or theme via the routing classification chosen by the applicant during the application process. The grants management team registers, acknowledges receipt and conducts administrative checks for all submissions received by the deadline. All proposals received through the official channels are registered and assigned a unique identifier code e.g. Call platform: NSTIP; Call Number: 03; Call year: 2015; and Serial Number: Constant from 0001 onwards. The unique identifier code that can be derived from the above is: **NSTIP-03-2015-0001**

An administrative check to confirm that each concept proposal meets administrative criteria such as size and format will then be conducted. The grants management team also checks eligibility basing on eligibility criteria as detailed in the call, and for plagiarism using plagiarism detection software. For each concept proposal, the criteria not satisfied is identified and noted for feedback purposes.

UNCST does not receive applications past the deadline set in the published call and may withdraw any application identified during the receipt, referral and review process that does not conform with the guidelines in this manual.

Some examples of how this policy is applied to the UNCST application procedure includes but is not limited to:

- Applications containing one or more bio-sketches that do not conform to the required format may be withdrawn;
- Applications that do not conform to the page limit requirements because pointless material has been included in other parts of the application may be withdrawn;
- Applications submitted as new but containing elements of a previous submission may be withdrawn.

Simultaneous submissions of identical proposals to one or more calls is not allowed, and the UNCST will not accept similar grant applications with essentially the same research focus from the same applicant/organization for the same funding cycle. This includes derivative or multiple applications that propose to develop a single product, process or service that, with non-substantive modifications, can be applied to a variety of purposes.

Identical or essentially identical grant applications submitted by different applicants are not to be accepted for the same funding cycle. Applicants should ascertain and ensure that the materials submitted are their original work and have not been used elsewhere in the preparation and submission of a similar grant application.

## **5.4 Technical Evaluation of the Proposals**

Research and Technology Development grants are awarded to project ideas that are competitive, and have the development of Science and Technology in Uganda as one of their main outcomes. The proponents should also have a clear impact on scientific and technological research in the economy; through creation of employment, establishment of S&T-based enterprises and boosting household incomes. The applicants should demonstrate that their research or technological development could contribute to the national development goals. It is increasingly important that scientific research and development is not just excellent but is also relevant to human capital development. It should add value to the human and social development process in the country.

Individual researchers and institutions are both eligible. However, the Technical Committee particularly welcomes proposals that demonstrate strong partnerships, the added value that would be created by the proposed partnership, and the contribution it would make to enhance the national research and development capacity. The roles and responsibilities of all named applicants should be defined accordingly, together with a description of the added value arising from the bringing together of complementary expertise. Applicants may submit only one application per research and development priority area.

### **5.4.1 Screening for Technical Compliance**

Applicants are required to complete and submit a short concept note/proposal to UNCST. All the submitted concept proposals are screened for technical compliance based on the guidelines of the call. Technical compliance to these guidelines is validated by the Grants Management Team.

A concept proposal of not more than four numbered pages (a page is a single side of A4 typescript) should include the following:

- a. A cover sheet setting out basic details of the proposed project.
- b. A case for support describing the proposed research and how it will address the aims of the programme, and comprising the following elements:
  - i. An introduction to the scientific significance of the research and rationale;
  - ii. Composition of the research team clearly indicating the lead person who will be involved in the project and act as the principle researcher;
  - iii. The name of the host organization of the project;
  - iv. Summary of the research to be carried out, its scope, objectives and a brief summary of methods to be employed;
  - v. Statement of originality of the proposal and its relation to current research efforts in the particular field of scientific endeavor;
  - vi. Its development relevance and an assessment of the potential impact of the research in the near to medium term and, if successful, the nature and extent of its contribution to solving the identified problem;
  - vii. Collaborative approaches and partnership mechanisms to support development or use of the technology.

The following should be included as attachments to the concept proposal:

- i. An indicative timeline
- ii. and a summary of the funding required in Uganda Shillings which should be presented separately with estimates under the following headings:
  - a. Direct costs of the research - staff (salary and salary-related costs), consumables, travel, equipment etc;
  - b. Associated indirect costs or overheads.

#### **5.4.2 Selection of Concept Proposals**

All the complete concept proposals that pass the administrative and compliance checks are submitted to the Technical Committee for review and evaluation via the online evaluation system, the committee then submits the evaluation results to UNCST. The selection of successful concept proposals is undertaken by the Grants Management Team with oversight by the Chair of the Technical Committee. Applicants with successful concept proposals are then requested to submit full proposals by the set deadline. The Grants Management Team also gives customized feedback to all unsuccessful applicants through online email feedback system.

#### **5.5 Technical Assistance to Project Proponents**

Before the research and technology development teams submit full proposals to UNCST, they are trained in competitive proposal writing, business plan development and associated entrepreneurship skills. The technical assistance focuses on the following:

- Research problem formulation;
- Research program design;
- Ethical clearance;

- Collaboration with scientific, technological, and private sector partners;
- Competitive grant proposal writing;
- Management of research;
- Business plan development for sustainability;
- Publication and dissemination of research results;
- Commercial potential of research outputs;
- IP Assets development for exploitation.

The decision on how and when to conduct this technical assistance is at the discretion of the Grants Management Team, the UNCST Secretariat and the UNCST Governing Council, basing on the quality of applications received during a given granting cycle and the availability of funds.

## 5.6 Selection of Successful Proposals

The selection of successful proposals is undertaken by the interdisciplinary and inter-sectoral Technical Committee. Concept and full proposals are evaluated through an independent online scoring system. Evaluation at both concept and full proposals also considers the overall scope and balance of the programme in the final selection of the projects. The selection of the successful research and technology development proposals follows the evaluation criteria indicated in **Annex-1** and follows a two-stage approach by the Technical Committee: a) Technical review scoring; b) Vivas for the research and development teams.

### 5.6.1 Technical Review Scoring

The full proposals are reviewed, evaluated and scored through an independent online evaluation system by the Technical Committee, and the results are submitted to UNCST. The Technical Review Score contributes seventy-five percent (75%) to the Total Score.

At this stage feedback in the form of customized comments from reviewers is given to all applicants, who are then requested to prepare appropriate and detailed responses that are submitted to the Grants Management Team before the scheduled date for vivas.

### 5.6.2 Vivas for the Research and Technology Development Teams

The Technical Committee conducts vivas for all the research and development teams. The viva score contributes twenty-five percent (25%) to the Total Score. The vivas provide a good opportunity for members of the Technical Committee to have a better understanding of the research and development proposals and the teams' capacities to implement the projects. The research teams also have the opportunity to comprehensively respond to the reviewers' comments.

## 5.7 Appeal of the Evaluation Results

To preserve and underscore the fairness of the UNCST peer review process, UNCST has established a peer review appeal system to provide applicants the opportunity to seek reconsideration of the evaluation results, if after consideration of the customized feedback from the Technical Committee, they believe the review process was procedurally flawed.

The UNCST policy for appeals of concept peer review does not apply to appeals of the full proposal technical evaluation by the Grants Evaluation Committee, appeals of UNCST funding decisions, or

appeals of decisions concerning extensions of UNCST Grant awards. In addition, UNCST will not review a resubmitted application when an appeal of initial peer review is pending on the original application.

An appeal is a written communication from a Principal Investigator (PI) and/or applicant institution that meets the following four criteria: 1) is received after issuance of customized feedback from reviewers and up to 15 calendar days after the concept level of peer review; 2) describes a flaw or perceived flaw in the review process for a particular application; 3) is based on one or more of four allow-able issues (described below); and 4) displays concurrence from the Authorized Host Institution Representative (Grants Office). An applicant who is concerned about procedural aspects related to the completed concept peer review of his or her application should first consider the comments from the reviews in the customized feed, and then should contact the appropriate Grants Management Team Official (UNCST Grants Manager). Following discussion of concerns with the Grants Manager, the PI, if he or she wishes to appeal the outcome of the initial peer review process, prepares an appeal letter endorsed by the Authorized Host Institution Representative which must then be submitted, either in hard copy or electronically, to the UNCST Grants Manager. An acknowledgement letter within 10 days of receipt of the appeal letter will be issued.

An appeal letter will be accepted only if the letter: 1) describes the flaws in the review process for the application in question; 2) explains the reasons for the appeal; and 3) is based on one or more of the following issues related to the process of the concept proposal peer review: i) Evidence of bias on the part of one or more peer reviewers; ii) Conflict of interest, as specified in section of **“Conflict of Interest”** in this manual on the part of one or more peer reviewers; iii) Lack of appropriate expertise within the subject matter; and iv) Factual error(s) made by one or more reviewers that could have altered the outcome of review substantially. These are the four allowable issues for appeal.

Appeal letters based solely on differences of scientific opinion will not be accepted. A letter that does not meet these criteria and/or does not include an endorsement (with the official institutional seal) of the Authorized Host Institution Representative will not be considered an appeal letter, but rather a grievance. The UNCST will handle grievances according to UNCST-specific procedures.

If the reviewers and the Grants Management Team do not support the appeal, or do not agree on its merit, the PI with an endorsement (with the official institutional seal) of the Authorized Host Institution Representative (Grants Office) may elect to withdraw the appeal letter. The request to withdraw an appeal letter must be submitted either in hard copy or electronically to the UNCST Grants Manager, and must display an endorsement of the Authorized Host Institution Representative of the applicant organization. A communication from the PI only or with a copy to the Authorized Host Institution Representative (Grants Office) will not be accepted.

The Grants Management Team may not deny the PI the opportunity to have an appeal letter made available to Grants Technical Committee. Only two outcomes are possible following consideration of an appeal letter by Grants Technical Committee:

- i. The Grants Technical Committee may concur with the appeal, and recommend that the application be re-reviewed.
- ii. The Grants Technical Committee may deny the appeal. Although factual errors or other issues may be evident, the Grants Technical Committee may determine that these factors were unlikely to alter the final outcome of the review and deny the appeal.



No action by the Grants Technical Committee is equivalent to concurrence with the Grants Management Team's recommendation and denial of the appeal.

The chairperson for the Grants Technical Committee will communicate the committee's recommendation concerning an appeal to the PI and UNCST staff with a need to know in a written explanation of the resolution no later than 30 calendar days after the Grants Technical Committee Meeting on this issue.

If the Grants Management Team/or Grants Technical Committee recommended that the application be re-reviewed, the original application will be re-reviewed without additional materials or modifications. The application may be re-reviewed by the same or different reviewers, depending on the flaws in the original review process that led to the appeal. In most cases, the re-review will entail re-assignment to a subsequent review round and delay in the final funding decision. The outcome of the repeat review is final and cannot be appealed again.

### 5.8 Completion Report of the Grants Technical Committee

After the Technical Committee has concluded the reviews, it will compile and submit an official report with the final list of applicants to be awarded grants by UNCST to the Executive Secretary. The report shall also include recommendations for the selected proposals.

### 5.9 Notification of Award

After the Technical Committee has concluded the reviews and generated an official report with the final list of applicants recommended for funding, a Notice of Award is issued to the successful applicants. On the other hand, UNCST sends unsuccessful applicants a letter via electronic mail informing them that they have not been selected and clearly giving the reasons.

The Notice of Award will indicate the amount of the grant award, direct and indirect costs, and the period in years approved for funding. Any recommendations from the viva (peer reviewers) that may result in changes or contingencies are also reflected in the Notice of Award.

The transfer of funds is contingent upon the UNCST Governing Board's approval of the budget and receipt of a sufficient allocation from GoU through MoSTI. When UNCST receives its fiscal year allocation following approval of the National Budget, the final budget for each award will be revised in accordance with available funding, the reviewers' recommendations and in line with UNCST's funding policies. The Grants Management Team may also bring to notice any arithmetical errors, ineligible costs or technical inconsistencies observed during the evaluation process.

**Please note:** Grant awards are contingent on the availability of funds from GOU, and the Award Letter is not a promise of funding.

### 5.10 Pre-Funding Administrative Review

Any issues that may arise during the granting process at this point are negotiated and resolved between the Grants Management Officer and the applicant.

If a Principal Investigator for a new award has prior funding from UNCST, the submission of all technical and financial reports for existing awards must be up to date prior to the release of new funding. If a technical or financial report is more than one month overdue, funding for the new award will be delayed until these reports are submitted and accepted by UNCST.

All applications recommended for funding are reviewed for appropriate evidence of human subjects and/or animal subjects review and approval, study population justifications and potential overlapping support from other funding sources.

Grants may be awarded contingent upon acceptance by the Principal Investigator and UNCST Grants Manager of a reduced term or scope of work from that proposed in the application. In such cases, the award will be made only after submission of an official addendum to the application that specifies the revised scope of work, signed by both the Principal Investigator and the UNCST Official for grant-funded contracts. Finally, the title and abstract of the project must be approved prior to publication on the UNCST website.

Principal Investigators utilizing controlled substances for research must obtain a Controlled Substance Registration Certificate from the relevant regulator (Government Agency) prior to conducting any project activities which require purchasing, storing and using controlled substances. The PI agrees that no work with controlled substances will be performed as part of the award contract until the required Controlled Substance Registration Certificate or Approval for the project study is in place, if applicable. Where this certificate is required, UNCST reserves the right to recall all funds awarded and released for the award if the Controlled Substance Registration Certificate is not obtained by the start date for the award. Conducting any research using controlled substances without the required Controlled Substance Registration Certificate is not allowed under the UNCST Granting Policy and will result in immediate suspension of the award and recall of funds.

Please note that existing funds for a project and its activities may not be displaced by UNCST funds and/or reallocated for other organizational expenses.

### 5.11 Award Contracts and Signature

The Grants Management Team in consultation with the Executive Secretary UNCST and with approval from the Office of the Solicitor General prepare official award contracts for successful applicants/ grantees indicating the duration of the contract and the amount of funding available to the beneficiary.

Any modifications, clarifications or minor corrections to the successful applicant's proposal will have been brought to attention of UNCST at this point, before the contract is signed. The Grants Management Team may also bring to notice any arithmetical errors, ineligible costs or technical inconsistencies discovered before the agreement is signed.

### 5.12 General Annual Timeline

Call for Concept Proposals	Jan
Application deadline	Feb
Compliance Review by Grants Management Team	Mar
Technical Review by Evaluation Committee	April
Notification of Offer/Signing Contracts	May
Start Date	July
Grant reporting/funds disbursements	Quarterly

## 6.0 GRANTS AWARD AND IMPLEMENTATION

### 6.1 Overview

The implementation of project activities often involves procurement of services, supplies or works, securing licenses/certification, patenting processes/products among others. The project Principal Investigator (PI) is expected to work with the UNCST Grants Manager to fully account for the use of all the disbursed grant funds, including appropriate record-keeping and maintenance of documents. PIs and their associated grant administrators are required to furnish this information at regular intervals to the UNCST, which in turn furnishes consolidated information to GOU through MOSTI. If the duration of the grant is more than one year, administration of the grant in each subsequent year will be subject to the guidelines of this manual.

### 6.2 Scope of Work and Purpose

The project proposal should provide the scope of work, purpose, task schedule and list of deliverables/ outputs. The action eligible to receive grant funding must be clearly identified. No action may be split for the purpose of evading compliance with the rules laid down in this manual. The Grantee shall undertake and complete, in a competent and timely manner, all of the work and services set forth in the approved work plan and operate within the financial boundaries of the approved Grant budget. The Grantee shall submit both soft and hard copies of the Final Report to UNCST which shall be delivered in a format as specified in Annex VI. The Grantee shall further agree to provide physical space, access to utilities, institutional and any other services necessary for successful implementation of the project.

### 6.3 Changes during the Award

No significant changes to the project or its directions are allowed unless explicitly advised to do so by the Grants Technical Committee during the evaluation process.

#### A. Changes in objective or scope

It is expected that there will be no changes to the proposed project. In the event that a change becomes unavoidable, the Principal Investigator shall communicate in writing the proposed change to UNCST. The change must be approved by the Grants Technical Committee before it takes effect.

#### B. Absence or change of the Principal Investigator and Key Personnel

If the Principal Investigator plans to or becomes aware that he or she will be absent for a continuous period of two months or more, or otherwise relinquish active direction of the project, he or she shall advise the UNCST, who shall be responsible for taking appropriate action. Such action may involve terminating the project, but not before the Grantee has been given the opportunity to find a substitute Principal Investigator of similar qualifications and experience.

UNCST must be notified immediately in the case of the following:

- The Principal Investigator's input effort devoted to the project decreases by more than 25 percent;
- The Principal Investigator withdraws from the project, resigns from the recipient institution, takes a leave of absence from the recipient institution for any reason or is not involved in the day-to-day operations of the project longer than 90 consecutive days;

- The Principal Investigator changes primary residence to one outside Uganda;
- Key project personnel are engaged or dis-engaged from the project.

If the project can be continued at the original recipient institution, the recipient institution may propose the appointment of a new Principal Investigator. To effect a change, the institution must provide UNCST with a written explanation for the Principal Investigator's resignation and a justification for the appointment of the nominee, including his/her Biographical Sketch and Other Support statements. The nominee may assume responsibility for the project only after UNCST has approved the replacement.

### **C. Changes to Independent Investigator Awards**

If, for any reason, work on a UNCST funded project cannot be continued either under the direction of the original Principal Investigator or at the recipient institution, the Principal Investigator or an official representative of the host institution must notify the UNCST within seven working days of the project's change in status quo and propose the available options. To obtain UNCST approval for changes, a written comprehensive and justified request must be submitted by the host institution to UNCST.

If after discussion, UNCST does not accept the requested changes, all parties will be notified in writing by UNCST and the project must be terminated. In this case, the Final Progress Report and the Final Financial Report along with all unexpended funds must be submitted to UNCST within 90 days of the termination date.

### **D. Changes to Approved Expenditure Budget Categories**

Budget changes made without prior approval will be rejected by UNCST. The UNCST Grants Manager should be notified in writing of any significant budget changes prior to submitting a request form. Major concern areas include: changes in personnel or a supplies budget that exceeds 25% and new equipment purchases; added travel expenses; or unspent funds within a financial year that exceed 25% of the working budget.

Grant recipients may wish to expend funds differently from the approved working budget. However, certain budget category increases or decreases require submission of a request form, an explanation of the need for budget changes and signature approval from the Grants Manager.

Requests for changes must be submitted to the UNCST Grants Office in accordance to the UNCST Financial Manual and may be submitted at any time. This form calls for justification of the requested change(s), including: (1) specification of the budget categories from which and to which funds would be transferred; (2) the reason for the change—specification of how the change will facilitate the achievement of the research objectives; and (3) an explanation of how the purpose for which funds were originally approved will be met. Changes may not be implemented until written approval has been obtained from the Grants Manager. Both the P.I and the Host Institution Grants office will receive a copy of the approved request. Changes that violate the basic conditions of the award are not permitted, e.g., reducing the P.I time commitment to less than the minimum required for the grant.

## E. Change of Institution

If the Principal Investigator is moving to another Ugandan institution eligible to receive UNCST research and development awards, the award may be transferred to the new institution. At the request of the PI, ownership of materials and equipment purchased or created with UNCST grant funds for work on the project transfers to the new institution. Awards may not be transferred to institutions outside Uganda. The procedures for transferring an award are outlined below:

### Original Receipt Institution

The following items must be received from the original recipient institution prior to transfer of funds to the new institution:

- A letter from an institutional signing official that provides the termination date and agrees to release the grant. (UNCST must receive a Final Financial Report and a return of funds by check or Bank Transfer within 90 days of the termination date.)
- A Final Technical Report must be submitted and accepted

**Note:** The original institution's approved Facilities and Administration (F&A) rate is applied to the direct costs expended by the termination date to calculate the amount of Facilities and Administration (F&A) costs retained by the institution. The balance of the unexpended direct and F&A costs revert to UNCST. The exact amount to be returned will be determined after receipt of a Final Financial Report, which must be submitted within 90 days of the termination date.

### Prospective Receipt Institution

UNCST must receive a letter of intent to accept the award addressed to the Executive Secretary from the prospective recipient institution before UNCST can approve a new institution. In addition, the following documents must be submitted (contact the UNCST Grants Office to obtain these forms):

- Cover Page with original signatures;
- Budget Summary for remaining project period using the estimated unexpended balance from the original institution;
- Detailed Budgets for each remaining year with associated budget justifications;
- Key Personnel;
- Biographical Sketches for key personnel;
- Other Support for key personnel;
- Facilities and Resources;
- Human and/or Animal Subject Assurances, where applicable, from an approved IRB/REC;
- Proposed Milestones and Research Plan for continuing the project at the new institution;
- Certification of the approved F&A rate (where applicable).

## F. Changes to Collaborative Awards

Changes to Collaborative Awards should follow the basic grant guidelines set forth in this manual. In general, specified collaborations between institutions and investigators must be resigned if any of the participating investigators and/or institutions resigns. Exceptions will be considered on a case-by-case basis and may require submission of a new application and peer review.

## 6.4 Unexpended Funds

During all but the final budget year, unexpended funds may be transferred to a subsequent budget year through submission of a Request to Carry Forward Unexpended Funds form as stated in subsection 6.5. During the final year, funds may be carried forward beyond the original grant termination date through submission of a Request for No-Cost Time Extension form as stated in subsection 6.6.

UNCST funds cannot be commingled with other program or operating budgets, and cannot be used for any financial year-end expenditures or deficits not directly related to the purposes of the UNCST grant award. UNCST will require justification of large expenditures in the final months of an award. To effect a carry-forward, grantees must also comply with all applicable carry-forward procedures and timetables at their own institution.

## 6.5 Carry-Forward Request

The grantee must obtain prior written approval from UNCST to carry forward unexpended funds when the total unexpended balance exceeds 25 percent of the original annual direct cost allocation.

Approval to carry forward UNCST grant funds is requested by submitting a request guided by the UNCST Financial Manual no later than 30 days prior to the end of the project period, and it must be accompanied by the annual Progress Report and any updated assurances that are applicable.

Funds must be carried forward into the same budget category from which they originated unless a Request to Change Approved Expenditures form is submitted and approved as outlined in subsection 6.3 (d).

As a rule, for projects with funding more than one year, the subsequent year's disbursement will be postponed if the carry-forward amount is greater than 50 percent of the current year's disbursement. However, there may be compelling reasons not to withhold the subsequent year's disbursement, and this action will be at the discretion of the UNCST Grant Manager after investigating the reasons for the large carry forward.

If the subsequent year's disbursement is postponed, the PI will be instructed to request the next year's disbursement when 25 percent of the funds that were carried forward have been expended or obligated. This request must be accompanied by an interim Annual Financial Report. The PI will be instructed to submit this request in sufficient time to avoid a disruption in cash flow.

UNCST may require the return of unexpended funds not carried forward according to the procedures outlined above or may reduce future allocations accordingly.

## 6.6 No-Cost Time Extension

In the event a Principal Investigator is unable to complete the proposed work prior to the award termination date, a no-cost time extension for three months, six months, or 12 months may be requested by submitting a request, creating an additional project year. Such a request must be received by UNCST no later than 30 days prior to the end of the final year of the award. The request must include:

- The projected funds remaining;
- An explanation for the need to extend the project;
- Any updated assurances that are applicable.

Three-month extensions require submission of only the request form. Thus, the Final Technical Report for the final of the project is due 90 days after the new end date. Six- and twelve-month extension requests require a complete annual Progress Report.

The approved request serves also as the approval to carry forward funds into a new budget year. The Annual Financial Report is still due within 90 days of the original financial year end. Failure to submit the request and reports may result in loss of the funds remaining at the original termination date.

## 6.7 Status of Parties

The Grantee understands that the grant agreement is with UNCST - the implementing agency of the Research and Development Grants facility funded by the Government of Uganda (GoU).

The Grantee should act as an independent contractor in the performance of work under a specific grant and shall be solely responsible for the payment of any and all claims for loss, personal injury, death, property damage, or otherwise, arising out of any act or omission of its employees or agents in connection with the performance of work under any R&D Grant. The Grantee further understands that these grants are for the sole purpose of carrying out the activities of the approved project proposal and shall not change activities or any aspect of the budget; and that the Principal Investigator is the decision-maker regarding all substantial aspects of the project, including budgets and personnel as they pertain to the project.

## 6.8 Key Personnel

The project's designated Principal Investigator shall serve as the Grantee's single point of contact with the UNCST regarding the project schedule, performance, budgeting and deliverables. S/he will be the accounting officer for their respective project. The Grantee shall not replace or substitute another individual as the designated point of contact without the expressed written prior approval of the UNCST. The Grants Management Team shall serve as the UNCST's point of contact for the Grantee regarding project schedule, performance, budgeting and deliverables.

## 6.9 Research Team Constitution

Grants shall compensate up to 5 key personnel on each project team. These include the Principal Investigator, co-Principal Investigator, Researcher and Research/Laboratory Assistant. The recruitment of these staff will be championed by the human resource department of the UNCST, basing on individual competence and expertise in areas relevant to the projects' scope of work, as provided for in the UNCST Human Resource Manual. Appointment of these individuals will be on contractual basis and compensation

packages in the form of a gross top-up will be disbursed directly to personal accounts by the UNCST. Monthly gross top-up will be paid (but not salary) according to the position and time input into the project at rates that will be approved by the UNCST Governing Council from time to time.

## **6.10 Communication with Grants Management Team**

Each award is assigned to a Grants Management Team Officer, and any issues relating to the conduct of research under the terms of an award should be referred to the assigned Grants Management Team Officer. Grants are assigned to Grants Management Team Officers based on the subject area of the research. Principal Investigators are informed of the contact information of their assigned Grants Management Team Officer at the time of award.

## **6.11 Use of Award Funds**

Award funds may be used only for expenditures necessary to carry out the approved research or related work to achieve the approved specific aims following the pre-approved budget. Particular unallowable costs, if any, are specified in the Award Notice. In some instances, stipulations are placed on a portion of the expenditures. Grantees and recipient institutions are required to maintain accounts, records and other evidence pertaining to costs incurred. Grantees may be subject to the examination and audit of the UNCST internal auditor and the Auditor General of the Republic of Uganda for a period of three years after receipt of Final Financial and/or Technical Progress Reports. The examination and audit will be confined to those matters connected with the performance of the award, including, but not limited to, administering the award. Any changes in approved expenditures must be pre-approved according to the guidelines in subsection 6.3.

## **6.12 Travel**

### **6.12.1 UNCST Meetings**

The approved budget for travel to the UNCST grants management meetings cannot be used for other purposes unless: (1) the investigator or a representative attended the meetings and has funds left over in this category; or (2) no meeting was held. If the investigator or a representative does not attend a meeting, the UNCST grants management meeting funds must be returned to the UNCST.

### **6.12.2 Scientific Meetings and Exhibitions**

Funds to support the cost of domestic and international travel are allowed if adequately justified.

### **6.12.3 Project-Related Activities**

Funds to support the cost of project-related domestic and international travel are allowed if adequately justified in detail. Expenses in this category must be related to completion of the project, such as travel to survey sites to collect data or travel to institutions to analyze samples or perform experiments.



## 6.13 Equipment and Residual Supplies

Only equipment requested in the application and approved in the award budget may be purchased with program funds. Equipment not approved in the award budget may only be purchased after prior approval has been obtained in writing from the Grants Manager. Approved equipment must be purchased prior to the last 120 days of the term of the grant. This period may include the term of an approved No-Cost Time Extension.

### 6.13.1 Equipment

Equipment is defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the recipient institution for financial statement purposes.

When original or replacement equipment acquired under a UNCST award is no longer needed for the original project or program or for other activities currently or previously supported by the awarding UNCST granting program, the recipient institution must request disposition instructions from the UNCST Executive Secretary through the Grants Manager regarding the equipment. Upon receipt of the disposition request, UNCST reserves the right to transfer title for this equipment to the UNCST itself or to a third party, or elect to allow title for the equipment to reside with the recipient institution.

As part of the disposition request, recipients are encouraged to explore opportunities for use of the equipment for other related purposes within the recipient institution, and include information regarding the proposed repurposing of the equipment with the disposition request.

If UNCST elects to retain or transfer title of the equipment to a third party, the reasonable cost of mailing and/or shipping return of the equipment will be paid by UNCST.

### 6.13.2 Residual Supplies

Supplies are defined as all tangible personal property other than property defined as “equipment”. If the recipient institution has unused supplies exceeding UGX 5,000,000 (current market value) at the end of the grant award period, and these supplies are no longer needed for the original project or program or for other activities currently or previously supported by the UNCST granting program, the recipient institution must present an inventory and disposition request regarding the unused supplies to UNCST Grants Manager. This inventory and disposition request must be submitted no later than 90 days after the end date for the grant award.

Upon review of the residual supplies inventory list and disposition request, UNCST reserves the right to transfer the unused supplies to the UNCST itself or to a third party, or elect to allow the unused supplies to be allocated to the recipient institution. As part of the disposition request, grantees are encouraged to explore opportunities for use of the supplies for other related purposes within the recipient institution, and include information regarding the proposed repurposing of the supplies with the disposition request. If UNCST elects to retain or transfer the supplies to a third party, the reasonable cost of mailing and/or shipping return of the supplies will be paid by UNCST.

## 6.14 Pooled Expenses

UNCST takes a conservative budgeting approach to the allocation of pooled expenses. Pooled expenses such as insurance surcharges, system wide networking surcharges, and other pooled training and facilities expenses are generally disallowed as direct costs.

Pooled expenses may be allowed at the discretion of the UNCST Grants Manager if the grantee can show that: (1) the project to be funded will be directly supported by the pooled expenses, (2) the pooled expenses have been specifically excluded from the indirect cost rate negotiation, and (3) the pooled expenses have been allocated consistently over time within the organization (e.g., it is not allowable to charge a new indirect expense such as “facilities” as a direct line item in order to recoup funds lost due a poorly negotiated rate agreement). No indirect cost recovery will be allowed on pooled expenses.

## 6.15 Monitoring and Payment of Subcontractors

It is the grant recipient's responsibility to monitor the performance of all subcontractors receiving funds from a UNCST grant award. Monitoring may include reviewing the subcontractor's financial and programmatic reports and, when appropriate, evaluating the subcontractor's completed milestones and deliverables. Grantees should thoughtfully review the subcontractor's performance in these areas before signing any invoice authorizing payment of funds to a subcontractor. Grantees must pay subcontractor invoices (for cost reimbursable sub-awards) within 60 days of receipt of the subcontractor's invoice unless the recipient/grantee believes the invoice is improper. UNCST will require verification of all subcontractor indirect costing rates prior to the approval of the award budget.

## 6.16 Cost Share

Voluntary committed cost sharing is not expected by UNCST or used as a factor during the merit review of applications or proposals. Cost share may only be considered as part of the merit review for an award if the cost share requirement is specified as mandatory in the call for proposals. When cost share is designated as mandatory, “unrecovered” Facilities and Administration (F&A) costs on the direct costs as well as the “computed” F&A on the direct costs may be included as part of cost sharing or matching only with the prior approval of UNCST

## 6.17 Fraud or Misuse of Funds

Report of fraud or misuse of funds must be made to the Grants Manager or to the UNCST, Office of the Internal Auditor.

## 6.18 Compensation and Maximum Cost

In full and complete consideration of Grantee's performance in accordance with this manual, grant expenditures shall be in accordance with the approved budget. The Grantee may shift funds between the approved budget line items (except the line item on salary supplements), provided no line item increases more than 25% from the original approved budget as provided for in subsection 6.3 (d). If a particular expenditure is increased by 25%, then another expenditure item must be reduced by the same amount. Line item increases, greater than the specified threshold amount, are not allowed without expressed written consent from the UNCST. The changes shall be proposed with a revised Annual Work Plan,

Budget and the request to change the approved expenditure mentioned in subsection 6.3 (d). In no event will the total grant amount be increased as a result of a shift in funds between budget line items.

Each project shall register their research with UNCST and other relevant institutions and pay the necessary registration fees. This shall be included in the project work plan and budget. Additionally, a budget line for Intellectual Property Rights (IPR) application and registration; and clearly spelt out MOUs with any collaborators shall be included in the project budget and work plan. Funds in the budget meant for gross top ups will go to gross top ups – if exhausted, no diversion of money from other activities will be allowed. All allowances shall be based on UNCST standards according to the UNCST Financial Manual.

### **6.19 Disbursement and Payment**

UNCST shall administer the project funds; with institutional administrative cost covering 5% of the total project budget. Advances for payment to the Grantee will be made on quarterly basis upon receipt and approval by the UNCST of an annual work plan and budget (AWP&B), containing an itemized budget and quarterly reports (QR) of the previous period, together with planned outputs for the next quarter.

An initial disbursement of project funds to the Grantee shall be made based on the Annual Work Plan submitted by the Grantee. Subsequent disbursements shall be made upon receipt of satisfactory accounting for expenditure in the previous quarter. Both technical and financial reporting shall be done by the 15<sup>th</sup> date of the following month after the completion of a quarter. All accountability documents shall be submitted to UNCST in their original form.

UNCST may withhold payment if the Grantee is in default on any progress reports. UNCST shall withhold the last 10% of the total value of this Grant, pending receipt of all approved project deliverables. A final request must be received by the UNCST no later than 60 days after the end of the period of performance. Upon receipt of the final request designated by the Grantee as the “Final Request” and upon compliance by the Grantee with all provisions of the research agreement, UNCST shall pay to the Grantee any balance of allowable costs.

All payments made under this Grant shall be considered provisional and subject to audit under subsection 6.11 of this manual. Any refunds, rebates, credits, or other amounts received by the Grantee that are attributable to costs for which the Grantee has been reimbursed, shall be paid or credited back to the UNCST. The Grantee shall declare any other source(s) of funding for any project component or activity.

### **6.20 Financial Management and Procurement Systems**

The Grantee shall maintain acceptable financial management systems during the term of the Grant. Such systems shall provide: (a) accurate, current and complete disclosure of the financial activity under this Grant, (b) effective control over and accountability for all funds, property and other assets, (c) comparison of actual outlays with budgeted Grant amounts, (d) consistency with the cost principles provided by the UNCST, and (e) accounting records supported by source documentation. Value for money must be ensured in all the undertaken purchase of goods and services in line with the PPDA Act 2003.

Procurement administration shall be carried out within the general framework of the Public Procurement and Disposal of Public Assets Act (PPDA) 2003 as amended and its attendant Regulations and Guidelines.

These recognize and give precedence to the Financing Agreement for the Research and Development Grants Facility. In particular, all procurement of goods, works, services and consultant services financed by the GoU funds under the Research and Development Grants Facility, shall be carried out by the UNCST unless delegated to the host institutions.

The financial accounts for the grant will contain, inter alia, the following information.

- i. A brief (one-page max.) Summary of Physical Progress. This will give broad detail on the physical implementation of the project
- ii. A Summarized Statement of Sources and Uses of Funds. This statement will detail resources received during the period, summarize payments made in major categories, and reconcile opening and closing balances for all accounts.
- iii. Statements of Use of Funds by Activity. This statement will detail all payments and transactions made during the period.
- iv. Procurement Progress Report. This statement will provide detail on the progress of all on-going and planned procurement procedures.

### **6.21 Grant Monitoring Site Visits**

To fulfill our fiduciary role with regard to the stewardship of the Republic of Uganda Science and Technology Funds, UNCST has developed a targeted process for review of projects funded by Science and Technology Research and Development Fund. This active monitoring is accomplished through review of reports and correspondence from the grantee, audit reports, site visits, and other information available to UNCST Grants Management Team. Periodic targeted site visits may be made for active awards and up to three years following award close-out, as needed. In most cases, the grantee will be given at least seven days' notice of the intention to conduct a site visit. During the site visit UNCST grants Management Team may conduct a review of the project and/or the financial management of expenditures related the project in accordance with the audit standards set forth in the UNCST Financial Manual.

### **6.22 Reporting Requirements**

Monitoring and Evaluation of the project will be done by UNCST. The Grantee shall submit the quarterly report within 15 calendar days following expiration of the reporting period. The Grantee shall submit a Final Project Report not later than 90 days following the expiration date of the grant. The Grantee shall make available any information upon request by the Grants Management Team to undertake periodic reviews of the project before, during or after the site visits they will conduct. The Grantee shall be obliged to share information with and exchange opinions regarding the project with the UNCST during scheduled UNCST supervision, monitoring and evaluation visits.

A comprehensive detailed business plan also shall be part and parcel of the project work-plan for continuity. At the end of the grant, the project should have tangible product(s)/ service(s) to show case at the UNCST Research and Technology Development exhibitions.

### 6.22.1 Progress Reports

UNCST requires grantees to submit a Quarterly Report (see Annex six) through the UNCST grants management online system every quarter as part of the non-competing continuation award process. The progress report must be approved by UNCST Grants Management Team according the approved work plan, budgets and proposal documents.

The quarterly report asks grantees about accomplishments towards the goal of the project, plans for the next quarter of the project, manuscripts and publications produced, personnel who have worked on the project, changes to level of effort of key personnel on the project, actual or planned challenges or delays in the projects and plans for resolving them, significant changes regarding human or animal subjects, inclusion enrollment reports for clinical studies, and more.

### 6.22.2 Invention Reports

Guidelines require that PI and/or grantee institutions report all inventions to the awarding agency (see subsection 6.31 on Intellectual Property), as well as include an acknowledgement of UNCST support in all patents.

### 6.22.3 Financial Reporting

Financial reporting is accomplished using the Financial Report format as per the UNCST Financial Management Manual.

**Note:** All reports must be accurate, complete and submitted on time. Failure to submit quarterly, annual technical progress and financial reports on the scheduled due dates will result in a delay of continuation funding. Reports that become more than 90 days overdue may result in a recall of previous grant funding. Principal Investigators who have reports more than 60 days overdue are ineligible to submit new grant applications.

### 6.22.4 Overdue and Delinquent Reports

Reports not received by the due dates become overdue. Once a report is more than one- month overdue it becomes delinquent and a 30-day warning letter is delivered to the PI(s) and Host Institution Grants official assigned to the grant. We encourage the PI(s) and Host Institution Grants officials to respond directly to any phone, email or letter notifications of overdue/delinquent reports. Please let the Grants Management Officer know the reasons for the delay in submission, and provide an expected date of compliance. Once a report is more than two months overdue without adequate response, then a final 60-day action notice will be sent. At this point the PI(s) and institution will risk recall of funds. In addition, PIs with delinquent reports risk rejection of future applications for funding. Finally, an institution having a grant with reports that are greater than two months overdue, that has not responded to a final 60-day action notice, will have all future grant disbursements from UNCST frozen. A violation of this policy on any UNCST grant award will also result in a funding recall and/or grant application disqualification for the Principal Investigator and the applicant(s) institution regarding all UNCST grant programmes.

## 6.23 UNCST Open Access Policy

UNCST is committed to disseminating research as widely as possible to promote the public benefit. To that end, all UNCST grantee institutions and researchers grant UNCST a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright and in any medium for all scholarly articles and similar works generated as a result of an UNCST grant award, and agree to authorize others to do the same, for the purpose of making their articles widely and freely available in an open access repository. This policy does not transfer copyright ownership, which remains with the author(s) or copyright owners.

**Scope and Waiver (Opt-Out):** The policy applies to all scholarly articles and similar works authored or coauthored as a result of research sponsored by an UNCST grant, except for any articles published before the adoption of this policy and any articles for which the grantee institution and/or researchers entered into an incompatible licensing or assignment agreement before the adoption of this policy. Upon express written request of the institutional grantee and/or researcher, UNCST will waive the license for a particular article or delay “open access” to the article for a specified period of time.

**Deposit of Articles:** To assist UNCST in disseminating and archiving the articles, the grantee institution and all researchers to the grant award will commit to helping UNCST to obtain copies of the articles that are published as a result of a UNCST sponsored grant award. Specifically, each author will provide an electronic copy of his or her final version of the article to UNCST by the date of its publication for inclusion in an open access repository, subject to any applicable waiver or delay referenced above. Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication.

## 6.24 Records Retention and Audit

Financial records, supporting documents, statistical records, and all other grant-related records pertinent to a UNCST grant award must be retained for a period of three years from the date of submission of the Final Financial Report. Recipients of UNCST grant funds may be subject to the examination and audit of The Auditor General for a period of three years after receipt of Final Financial and/or Progress Report. The UNCST, the Auditor General or any of its duly authorized representatives or the external audit firm hired by the UNCST for the Grants Facility shall have the right to examine and audit directly pertinent books, documents, papers and records of the Grantee including financial transactions and supporting documents, general accounting systems, internal controls, management practices, policies and procedures pertaining to the performance of this Grant. The Grantee agrees to allow the auditor(s) access to such records at any reasonable time with prior notice and to allow interviews of any employees who might reasonably have information related to such records.

## 6.25 Availability and Confidentiality of Information

### 6.25.1 Availability of Information

Except for certain types of information that may be considered proprietary or private information that cannot be released, most grant-related information submitted to UNCST by the applicant in the application or in the post-award phase is considered public information and, once an award is made, is subject to possible release to individuals or organizations outside UNCST. The statutes and policies that require this

information to be made public are intended to foster an open system of government and accountability for governmental programs and expenditures and, in the case of research, to provide information about government funded activities.

UNCST routinely places information about awarded grants, including project title, the name of the PI, and the project description, on the UNCST web site ([www.uncst.go.ug](http://www.uncst.go.ug)). For funded research grant applications, UNCST also sends the project description provided by an applicant to MoSTI, which may then disseminate scientific information for classification and program analysis. The public may obtain the project descriptions from the UNCST web site or request them from the Office of the Executive Secretary of the Uganda National Council for Science and Technology. Other information may be released case by case as described in this subsection.

### **6.25.2 Confidentiality of Information**

Applicants are discouraged from submitting information considered proprietary unless it is deemed essential for proper evaluation of the application. However, if the application contains information that the applicant organization considers to be trade secrets, information that is commercial or financial, or information that is privileged or confidential, the pages containing that information should be identified as specified in the application instructions.

When such information is included in the application, it is furnished to UNCST in confidence, with the understanding that the information will be used or disclosed only for evaluation of the application. The information contained in an application will be protected by UNCST from unauthorized disclosure, consistent with the need for peer review of the application (including the agreement by peer reviewers and Grants Technical Committee members to the UNCST confidentiality and nondisclosure rules). However, if a grant is awarded as a result of or in connection with an application, the UNCST and the government of Uganda in general have the right to use or disclose the information to the extent authorized by law. This restriction does not limit UNCST's right to use the information if it is obtained without restriction from another source.

### **6.25.3 Protecting Sensitive Data and Information Used in Research**

Recipients of UNCST funds are reminded of their vital responsibility to protect sensitive and confidential data as part of proper stewardship of government funded research, and take all reasonable and appropriate actions to prevent the inadvertent disclosure, release or loss of sensitive personal information. UNCST advises that personally identifiable, sensitive, and confidential information about UNCST-supported research or research participants not be housed on portable electronic devices. If portable electronic devices must be used, they should be encrypted to safeguard data and information. These devices include laptops, CDs, disc drives, flash drives, etc. Researchers and institutions also should limit access to personally identifiable information through proper access controls such as password protection and other means. Research data should be transmitted only when the security of the recipient's systems is known and is satisfactory to the transmitter.

## 6.26 Hold Harmless

The Grantee shall defend, indemnify and hold harmless the UNCST, its officers and employees from and against any and all liability, loss, expense, attorney's fees, or claims for injury or damages arising out of the performance of Research and Development Grants but only in proportion to and to the extent such liability, loss, expense, attorney's fees or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of the Grantee, its officers or employees.

The UNCST shall defend, indemnify and hold harmless the Grantee, its officers and employees from and against any and all liability, loss, expense, attorney's fees, or claims for injury or damages arising out of the performance of this Grant but only in proportion to and to the extent such liability, loss, expense, attorney's fees or claims for injury or damages are caused by or result from the negligent or intentional acts or omissions of the UNCST, its officers or employees.

## 6.27 Insurance

Grantees shall take reasonable steps to insure their liabilities.

## 6.28 Termination

The UNCST may terminate any R&D Grants for cause and at its option, at any time upon the giving of thirty (30) days prior written notice to the Grantee. The said notice shall be given to the Principal Investigator. In the event of termination, the Grantee shall be entitled to payment for acceptable and allowable work performed under this Grant, and for all non-cancellable obligations made in connection with such work through the date of termination but in no event shall payment exceed the maximum payable. Early termination of any grant does not release the Grantee from compliance with appropriate provisions of the specified grant in this manual.

Termination for cause would be based on one or more of the following reasons:

- The project has significantly deviated from the scope of work or schedule, described in the Project Proposal,
- The grantee fails to show sufficient evidence of progress in its progress reports, or
- Based on professional judgment, it is determined that the project is at risk of exceeding its approved budget.

UNCST shall pay the Grantee only the reasonable value of the satisfactory services therefore rendered to the UNCST but in no event shall payment exceed the maximum payable amount. It is understood and agreed, however, that in the event that the Grantee is in default upon any of its obligations hereunder at the time of termination, UNCST shall be entitled to pursue any rights or remedies which UNCST may have against Grantee by reason of such default, and UNCST may withhold any payments to the Grantee for the purpose of set-off until such time as the exact amount of damages may be determined.



## 6.29 Settlement of Disputes

Any disputes between the UNCST and the Grantee in respect of any matter or anything arising out of the interpretation or execution of this Agreement which cannot be settled amicably between the parties, shall be referred to an arbitrator appointed with the consent of both parties. The arbitration proceedings shall be conducted in accordance with the provisions of the Arbitration Act (Chapter 55, Laws of Uganda). The Award rendered by the Arbitrator shall be binding and final.

## 6.30 Debarment/Suspension Certification

By signing the research grant agreement/ contract, the Grantee certifies that its principles:

1. Have not within a three-year period preceding this agreement been convicted of, or had a civil judgment rendered against them, for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public transaction or contract under a public transaction; commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statement, or receiving stolen property;
2. Are not presently indicted for or otherwise criminally or civilly charged by a government entity with commission of any of the offenses enumerated in paragraph (1) of this certification; and
3. Have not within a three-year period preceding the application/proposal had one or more public transaction terminated for cause or default.

The certification is a material representation of fact upon which reliance was placed when the UNCST determined to enter into an agreement with the Grantee. If it is later determined that the grantee knowingly rendered an erroneous certification, in addition to other remedies available, the UNCST may terminate this agreement for default.

The Grantee shall provide immediate written notice to the UNCST if at any time the Grantee learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

## 6.31 Intellectual Property Provisions

### 1. Grantee Rights, Responsibilities and Indemnity

- a. Patent rights for inventions conceived or first actually reduced to practice in performance of this Grant, whether actually patented or not, will be the property of the Grantee whose employees or researchers are inventors of such inventions pursuant to Patent Act (Cap. 216, Laws of Uganda), subject to the license provisions retained by the Uganda Government in accordance to subsection 6.31(2a) of this manual. Grantees must obtain agreements to effectuate the Government use license with all persons or entities obtaining ownership interest in such patent rights.

The Grantee shall disclose to the UNCST on a confidential basis all inventions, software and copyrightable material that was first conceived or first actually reduced to practice in performance of his work. The Grantee and all persons and/or entities obtaining an ownership interest in invention(s) shall include within the specification of any patent application, and any patent issuing thereon covering a Subject Invention, the following statement: “This invention was made with funding support under an Agreement between the UNCST and Grantee under the grant reference number provided. The Uganda Government has certain rights to this invention.”

- b. All software and copyrightable material first produced under this Grant shall be the property of the Grantee, subject to the license retained by the Uganda Government in accordance to subsection 6.31(2b and 2c). The Grantee will apply copyright notices to all deliverables using the following form or such other form as may be reasonably specified by the UNCST. “[Year of first publication of deliverable], [copyright holder]. All Rights Reserved.”
- c. Grantee warrants that all material produced by the Grantee hereunder shall be original, except for such portion as is included with permission of the copyright owners thereof, that it shall contain no libelous or unlawful statements or materials, and will not infringe upon any copyright, trademark, patent, statutory or other proprietary rights of others and the Grantee will defend and indemnify the UNCST from and against any claim, lawsuit or other proceeding, loss, cost, liability or expense (including court costs and reasonable fees of attorneys and other professionals) to the extent arising out of any third party claim solely arising out of the negligent or other tortuous act(s) or omission(s) by the Grantee or its employees, in connection with intellectual property claims against either deliverables or the Grantee’s performance under this Agreement.
- d. In no event will the UNCST be liable for any special, incidental, or consequential damages based on breach of warranty, breach of contract, negligence, strict tort, or any other legal theory for the disclosure of Grantee’s confidential information. Damages that the UNCST will not be responsible for include, but are not limited to, loss of profit; loss of savings or revenue; loss of goodwill; loss of use of the product or any associated equipment; cost of capital; cost of any substitute equipment, facilities, or services; downtime; the claims of third parties including customers; and injury to property.

## 2. UNCST and Ugandan Government Rights and Responsibilities

- a. For all inventions that were first conceived or first actually reduced to practice in the performance of this grant, the Uganda government retains a no-cost, nonexclusive, nontransferable, irrevocable, perpetual, royalty-free, paid-up worldwide license to use or have practiced such rights for or on behalf of the Uganda government for governmental purposes to the degree that is consistent with Ugandan law. Previously documented (whether patented or not under the patent laws of Uganda or of any foreign country) inventions are exempt from this provision.
- b. For software first developed in performance of this Grant, the Uganda government retains a royalty-free, no-cost, non-exclusive, irrevocable, nontransferable, worldwide, perpetual license to produce and use for governmental purposes.
- c. For copyrightable material first produced in performance of this Grant, the Uganda government retains a royalty-free, no-cost, nonexclusive, irrevocable, nontransferable, worldwide, perpetual license to produce, translate, publish, use and dispose of, and to authorize others to produce, translate, publish, use and dispose of all copyrightable material.
- d. The Uganda government shall not purposefully enter into competition with a Grantee’s licensee or take affirmative actions intended to effectively destroy the commercial market where a licensee has introduced a licensed product.
- e. The UNCST shall not disclose confidential data or the contents of reports containing data

considered by Grantee as confidential, without first providing a copy of the disclosure document for review and comment by the Grantee. The Grantee shall have no less than ten (10) working days for review and comment and, if appropriate, to make an application for confidential designation on some or all of the data. The UNCST shall consider the comments of the Grantee and use professional judgment in revising the report, information or data accordingly.

### **6.32 Human Research Subjects, Animal Welfare, Research Involving Recombinant DNA Molecules, and Environmental Protection**

The Grantee is responsible for the protection of the rights and welfare of any human subjects involved in research, development and related activities supported by this grant, and shall comply with all relevant Ugandan guidelines and regulations regarding the conduct of research involving human research subjects. The Grantee is responsible for strictly adhering to the humane care, handling and treatment of vertebrate animals held or used for research, development and related activities supported by this grant.

The Grantee shall not use any part of this grant to undertake field trials of genetically modified organisms, nor clinical trials involving the use or introduction of known or novel substances into human subjects. The Grantee is responsible to strictly adhere to and comply with all applicable Ugandan regulations concerning the protection of the natural environment and to the provisions of the Environmental and Social Management Framework. The UNCST and the Grantee will verify before the start of the project whether such a situation applies, and in that case add an annex stipulating all such additional provisions. The Grantee shall have an Environmental and Social Management plan that is acceptable to the UNCST before first disbursement of funds to the Grantee.

### **6.33 Applicable Law**

The Grants shall be governed by and construed in accordance with the laws of Uganda.

### **6.34 Waiver**

No waiver of any breach of the Research and Development Grants shall be held to be a waiver of any other or subsequent breach. All remedies afforded in these Grants shall be taken and construed as cumulative, that is, in addition to every other remedy provided therein or by law. The failure of the UNCST to enforce at any time any of the provisions of this Grant, or to require at any time performance by Grantee of any of the provisions, shall in no way be construed to be a waiver of those provisions, nor in any way affect the validity of this Grant Agreement or any part of it or the right of the UNCST to thereafter enforce each and every such provision.

### **6.35 Research Grant Agreement**

The Grant agreement and any attachments contained will constitute the entire agreement of the parties, and no representation, provision, warranty, term, condition, promise, duty or liability, expressed or implied, shall be binding upon or applied to either party, except as herein stated. No amendment or modification of any term, provision or condition of this grant shall be binding or enforceable unless in writing and signed by each of the parties.

### **6.36 Notices**

All notices to any party shall be in writing, signed by the issuing party, and shall be sufficiently given or served, if sent by registered mail addressed to the parties at their addresses indicated on the cover sheet of this agreement.

### **6.37 Standard of Performance**

The Grantee shall be responsible in the performance of work for exercising the degree of skill and care required by customarily accepted good professional practices and procedures and in accordance to the regulations stipulated in this manual.

### **6.38 Source and Limitation on Funds**

Funding for the Grant shall come from funds that will be appropriated by the Government of Uganda. In case these funds are no longer fully or partially available, UNCST has the option to cancel the Agreement under the termination clause or to amend the Agreement to reflect any reduction of funds.

### **6.39 Amendments**

No alteration or variation of the terms of the Grant shall be valid unless made in writing and signed by the parties hereto, and no oral understanding or agreement not incorporated herein, shall be binding on any of the parties hereto. A request for contract modification shall not automatically be accepted by UNCST. There must be justified reasons for modifying a contract which the Grants Management Team must examine. Requests for contract modifications must be made well in advance to allow for both parties to sign new contracts before the expiry of the execution period of the contract. Other than as specified herein, no document or communication passing between the parties hereto shall be deemed as part of this Agreement.

### **6.40 Allowable Expenses**

Only those costs identified in the approved grant budget shall be authorized. UNCST may not fund Bachelor/ Master/ PhD students' tuition fees under the projects.

### **6.41 Assets Management**

For the period of the grant, equipment and supplies purchased with grant resources will be under the sole control of the PI. It will be housed at the PI's host institution, but the PI will be the sole authority for all decisions regarding its access and use to ensure that the equipment serves the purposes of producing the intended results of the research project. Upon completion of the grant implementation period all assets will revert back to UNCST in accordance to subsection 6.13 of this manual.

## 6.42 Acknowledgment of Support

All scientific publications resulting from research conducted with support from the UNCST granting programs must acknowledge receipt of such support. The wording to be used is:

“This research was supported by funds from the Uganda National Council for Science and Technology Research Grants Program, Grant Number.”

Please note that all publications are subject to the UNCST Open Access Policy (subsection 6.23).

## 6.43 Close Out

UNCST closes out a grant as soon as possible after the project end date on the contract if the grant is not to be extended or if continued funding is not provided. Closeout consists of the timely submission of all required reports and adjustments for amounts due the grantee or UNCST. Closeout of a grant does not automatically cancel any requirements for property accountability, record retention, or financial accountability. Following closeout, the grantee remains obligated to return funds due as a result of later refunds, corrections, or other transactions, and the government may recover amounts based on the results of an audit covering any part of the period of grant support.

## 6.44 Project Exit Strategy and Commercialization

Following the close-out phase grantees who have developed prototypes and ready-to-use products are advised on how to seek or generate commercialization funding from other sources, guided by their business plans prepared during project implementation. Grantees may also be requested, periodically, to showcase at UNCST Research and Development exhibitions as a way of promoting public understanding of the sector.

In a bid to address the constraints of the STI sector, Grantees are encouraged to support Research and Technology Development Programmes, in any technological, technical or financial way, especially upon commercialization.

## ANNEXES

### Annex One: Evaluation Criteria

There are three clearly identified criteria that are applied during the evaluation process. They serve different purposes, are self-exclusive and non-discriminatory.

These are:

1. The **eligibility** criteria which serve to check if the individual/organization fulfils the specific conditions of a particular call
2. The **selection** criteria that aim to ensure that the applicant has the technical/ operational capacity to implement the project proposed. Selection is done through screening for technical compliance by the grants management team
3. Finally, the **awarding** criteria – that is about the project itself. Assessment is based on the project's ability to meet the goals and vision of the programme (technology developed; scientific excellence and originality; development relevance and collaborative approach). This assessment is conducted by the Technical committee through an anonymous online review and vivas for the research teams

### Eligibility Criteria

The eligibility criteria shall determine the conditions for participating in a call for proposals. These criteria are established with due regard for the objectives of the programme and comply with the principles of transparency and non-discrimination.

The criteria relate to two different aspects:

1. Eligibility of the applicant: this refers to the applicant's legal and administrative status. If a Call for Proposals relates to actions to be implemented in partnership, the minimum number of partners and the eligibility criteria applicable to each of the partners of the lead applicant will be specified in the call.  
Research and Development funds are available on a contestable basis to firms, research institutes, universities, multi-disciplinary researcher teams and technology platforms and clusters as groups. Individuals on the Grants Management Team, Technical Committee and the Secretariat are not eligible for grants during their time of service.
2. Eligibility of the action: this refers to the types of activities, sectors or themes and geographical areas covered by the Call for Proposals. Research and Development grants do not cover undergraduate research studies, actions already completed or those already receiving funds for the given action/activity from other grant facilities. Themes/subject areas and geographical scope for research actions/projects are specified in the call for proposals.

### Selection Criteria

The selection criteria are used to assess the applicant's technical capacity to complete the proposed action. Applicants and their partners must have the necessary professional competencies and qualifications to complete the proposed action. They must have demonstrated the ability to conduct research in the topic proposed.

All the submitted concept proposals are screened for technical compliance based on the guidelines of the call through an independent online scoring system.

## Awarding Criteria

The award criteria are used to assess the quality of proposals against the set objectives and priorities, so that grants are awarded to the actions which maximize the overall effectiveness of the call for proposals. These relate, in particular, to the relevance of the action, its compatibility with the grant programme under which the Call for Proposals is being financed, to the quality, expected impact and sustainability of the action, and to its cost-effectiveness.

### Selection of the research proposals follows the following awarding criteria:

- a) S&T Quality (Scientific and/or Technological Excellence): 50% Score
  - i. Does the research involve the development of new methods, the integration of existing methods into new tools, or the application of existing methods in a novel way that improves and extends their utility? (20%)
  - ii. Is the proposed research potentially of very high quality in relation to the highest international standards of scientific excellence in the sectors and disciplines that it includes? (15%) Are there satisfactory partnership mechanisms with centers of excellence or accredited institutions of research? (10%)
  - iii. Is there potential to generate Intellectual Property Assets? (5%)
- b) Applicability (Efficiency of Implementation/Management): 40% Score
  - i. Is the research team able to present and demonstrate the research prototype clearly? (25%) [Evaluated during the Vivas for the research teams]
  - ii. Does the proposed research address issues that present significant challenges to the specified S&T field? (15%)
- c) Impact (Development, Dissemination and Use of Project Results) & Impact pathways: 10% Score
  - i. Are the anticipated development outcomes and possible pathways to impact clearly and convincingly argued? (7%)
  - ii. Have gender issues been mainstreamed in the project design and objectives? (3%)

## Annex Two: Concept Note Format

1. Project title (max 50 words)
2. Short Title or Acronym (20 characters)
3. Identify the 5 most relevant keywords that represent the scientific basis of your project (max 5 words)
4. Research and Development foci selection- select the appropriate research and development focus/ foci for your proposal
5. Duration of the project- indicate the duration of the project in months
6. Principal Investigator- please mention the PI of the project who will be the applicant to submit the proposal
7. Team members and their institution (2-10 members)
8. Introduction (Max 250 words)
9. Objectives (Max 100 words)- Explain the aims and objectives of the proposed research within the context of the state-of -the art of the scientific area related to the project.
10. Scientific/technological solution provided by the project (Max 350 words)
11. Methodology (300 words)
12. Expected output(s) (Max 100 words)
13. Expected outcome (s) (Max 100 words)
14. Scientific, economic, environmental and societal impact (Max 250 words)
15. Primary project beneficiaries with emphasis on number, gender and location/regional distribution (Max 50 words)
16. Alignment of the project with the National Development Plan or Sector Strategic Plan (Max 200 words)
17. Expected partnerships/ collaborations/ linkages (Max 300 words)
18. Gender and other special interest groups considerations (Max 150 words)
19. Expected Intellectual Property (Max 100 words)
20. Counterpart funding/ institutional support available (Max 100 words)
21. References List (4 of the most cited literature)
22. Budget (in UGX) - (NB: Overhead costs should not exceed 5% of total budget)



ITEM	AMOUNT (UGX)	PERCENT OF TOTAL BUDGET
Personnel	The personnel costs (salary top ups) should not be detailed by person but by position	
Research Costs	Including data collection, inspection, consumables, research assistance, and other costs	
Equipment	A max of 15% budget may be allowed for small equipment	
Project kick-off, mid-term and final workshops	A minimum of 2 participants per project are expected to attend each workshop	
Knowledge Sharing and Research Uptake	May include both costs for scientific publications (e.g. open Access publication) and other dissemination materials (e.g reports, leaflets, websites etc), workshops and training of stakeholder engagement, capacity building and communication targeting end user and general public.	
Overhead costs	All eligible costs which cannot be identified as being directly allocated to the project but which can be justified by the accounting system of the beneficiary organization.	
Other goods and services	Should list any other cost that cannot be categorized in the above section.	
TOTAL		

23. Date and signature of the PI
24. Final Check and Submission-Please conduct a final check of all the sections before submitting. Note that NO CHANGES CAN BE MADE TO THE CONCEPT NOTE PROPOSAL AFTER SUBMISSION.
25. To submit your concept note proposal please click submit now button. Only after having clicked on this button will your proposal be successfully submitted.

### Annex Three: Full Proposal Format

Note that the information requested is not the same as in the preliminary concept note proposal stage. You are required to take the feedback from your preliminary concept note proposal into consideration when developing the full proposal.

1. Project Title (max 50 words)
2. Short Title or Acronym (20 characters)
3. Identify the 5 most relevant keywords that represent the scientific basis of your project (max 5 words)
4. Research and Development foci selection- select the appropriate research and development focus/foci for your proposal
5. Duration of the project- indicate the duration of the project in months
6. Principal Investigator- please mention the PI of the project who will be the applicant to submit the proposal
7. Total funding applied for
8. Summary for a broader audience (max. 350 words)-Summarize the main questions and/or approach and objectives; give a short description of the activities and expected results of the project.
9. Background, Questions and Objectives (max. 2500 words)
  - Provide a detailed explanation of the objectives of the project within the context of the state-of-the-art of the scientific area related to the project:
  - Present the research and/or technology issues the project intends to address within the framework of the relevant thematic scope.
  - Explain the novel character of the scientific research proposed (statement of originality) and describe the present state-of-the-art concerning the specific topics of the project. Show how the project aims at significant advances in the state-of-the-art through extending the current knowledge and/or filling the gaps identified.
  - Clear demonstration/illustration of the projects' research and development (R&D) that has gone beyond proof of concept with a working prototype
  - Highlight the interdisciplinary and transdisciplinary character of the project and explain how its added value is to be exploited and is best suited to address the challenges identified in the call for proposals.
  - State and Explain the added value and effect of existing collaborative approaches and partnerships on the challenges identified in the project
  - Explain the relevance and importance of the research and technology proposed, in terms of applications/use (new products, services and processes) and/or in terms of economic and societal impact.
  - Is the proposal is part of a larger national or international project? Yes/No. Explain the project specific activities and how it addresses the interests of this call.
10. Project Approach/Methodology (max. 1500 words)
  - Explain the general approach and methodology chosen to achieve the project objectives. Highlight the particular advantages of the methodology chosen.



Research outcomes	Indicators	Impact

#### Impact pathway diagram with indicators at output and outcome level

13. knowledge sharing and research uptake (Max 250 words)
- Stakeholder engagement: Include an initial mapping of relevant stakeholders and their roles and contributions in the project at all stages.
  - Communication with stakeholders (including communication strategies, methods and technologies): Describe the proposed activities and their timeline. Include in this section a description of the planned communication activities, specifying target groups, specific objectives, communication issues and products as well as means of communication.
  - Scientific output.
14. Research Team Information (300 words general team description, and max. 250 words per partner)
- Describe the overall research partners and the links between the participating consortium members / and the organisations/companies to which they belong.
  - Describe the background and particular expertise of the research team in relation to the tasks to be performed. Explain how the research team members complement each other in the execution of the project.
  - Describe prospects for establishing efficient and sustainable partnerships within the network, including transfer of know-how and experience.
  - Describe the additional team members and collaborators necessary to perform the work proposed, with the relevant instrumentation and infrastructure available in view of the tasks assigned to the team.
  - Brief CV for each research team member (once converted into Pdf document: max. 1-page DIN-A4, Arial font, size 11, 1.2 spacing per research team member) Please follow this format:
    1. Name, Date of birth, Position title. Education/training (Master, PhD, Specialization ... only mention Institution, Degree, Year, Field).
    2. Positions, honours and research support (selection relevant to the call)
    3. Positions and Employment;
    4. Other Experience and Professional Memberships;
    5. Honours, awards and research support.
    6. Publications
    7. Best 5 selected peer-reviewed scientific publications, relevant for this proposal;
    8. Best 5 selected non-scientific publications, e.g. policy documents, guidelines or newspaper articles etc.

9. Does this Project require technical support/Consultancy Services? Yes/No. State the project areas that require the technical support?
- Indicate how you intend to get this capacity. (Recruitment, Co-opting, Consultancy services)
15. Project management (max. 400 words)
- Describe how the overall coordination and management of the project will be implemented. Provide if, possible, a project organisational chart. Indicate the decision-making bodies and processes foreseen as part of the project execution (decision boards, coordination meetings).
  - If appropriate, set up a Gantt chart or detailed diagram giving the time schedule of the tasks and mark their interrelations; add milestones where important goals will be reached and/or decisions on further approach will have to be made; indicate a critical path marking those events which directly influence the overall time schedule in case of delays. Please make assumptions underlying the critical path and the Grant chart. (4 Assumptions)
  - Explain how information flow and communication will be enhanced within the project. Provide details of specific planned meetings and exchanges, and highlight factors likely to provide additional value to these communication processes.
  - Risk management: Indicate where there are risks of not achieving the objectives and fall-back positions, if applicable.
  - System to auto generate risk profile as the reviewer scores
16. Follow-up on project results (max. 500 words):
- Sketch out a result exploitation plan in line with the Research Impact Pathway which explains:
- a. How the new knowledge generated through the project and other deliverables of the project will be exploited after the project duration;
  - b. If relevant: how innovative results will be further exploited through an implementation plan for the project results;
  - c. How intellectual property, including foreground knowledge, patents, copyrights, license agreements and any other arrangements will be managed.
17. What ethical considerations are foreseen in the project?
- Clearly explain the way(s) in which the project intends to deal with ethical issues that may be identified above.
  - Does the project intend to obtain ethical clearance from the sectoral research regulators and the UNCST? Yes/No If no, Why?
18. Gender and the inclusion of youth, young researchers and other special interest groups. (max. 500 words)
- Explain how gender and other special interest group considerations are taken into account in the project and provide a gender approach.
  - Explain how youth is taken into account in the project.
  - Explain how young researchers and their capacity development are supported through the project activities.
  - Explain how other interest groups are taken into account in the project.

19. State nature of support provided by the host institution.
- Attach a letter of support from the host institution.
20. Provide a detailed budget breakdown (in UGX) – (NB: Overhead costs should not exceed 5% of total budget)

ITEM	AMOUNT (UGX)	PERCENT OF TOTAL BUDGET
Personnel	The personnel costs (salary top ups) should not be detailed by person but by position	
Research Costs	Including travel in the field and costs of accommodation, consumables, research assistance, and other costs	
Equipment	A max of 15% budget may be allowed for small equipment	
Travel and Subsistence		
Project kick-off, mid-term and final workshops	A minimum of 2 participants per project are expected to attend each workshop	
Knowledge Sharing and Research Uptake	May include both costs for scientific publications (e.g. open Access publication) and other dissemination materials (e.g reports, leaflets, websites etc), workshops and training of stakeholder engagement, capacity building and communication targeting end user and general public.	
Overhead costs	All eligible costs which cannot be identified as being directly allocated to the project but which can be justified by the accounting system of the beneficiary organization.	
Other goods and services	Should list any other cost that cannot be categorized in the above section.	
Matching Support if any	Give a detailed breakdown of another source of funding and the contribution of the host institution to the project. The contribution of the host institution may be in cash or kind.	
TOTAL		

21. Include references of relevant scientific publications
22. Date and signature of the PI
23. Final Check and Submission-Please conduct a final check of all the sections before submitting. Note that NO CHANGES CAN BE MADE TO THE CONCEPT NOTE PROPOSAL AFTER SUBMISSION.
24. To submit your concept note proposal please click submit now button. Only after having clicked on this button will your proposal be successfully submitted.

## **Annex Four: List of Eligible Expenditures for Grant Projects**

The following expenditure categories will be deemed eligible for funding for Research Teams.

1. Equipment, to be defined as property items of an expected service time of more than one year. Personal computers may be eligible too, if used in large part for conducting scientific research.
2. Travel and subsistence costs on the basis of, if applicable, Costs for travel and subsistence may not exceed 10 % of overall project costs.
3. Other direct costs
  - Materials and supplies (consumables)
  - Publication/documentation/dissemination
  - Consultant services, to be justified per individual case on the basis of needs and costs.
  - Computer and information services
4. Sub-awards will not be allowed.
5. Indirect costs (overhead). These may not exceed 5 % of overall project costs, calculated per institution involved, including the administration, monitoring and evaluation of the grant.
6. The costs of manpower, including consultants, and training, when there is a need to compose an Environmental Management System (EMS) for an (S)RT unit (if it is a laboratory on its own), or for the host laboratory of an (S)RT. Before arriving at a positive funding decision, the Technical Committee will assess whether the costs involved are in a reasonable proportion to the overall project costs.



## Annex Five: Safeguard Policies

The Environmental and Social Management Plan provides information on potential environmental and social impacts of the project and possible mitigation measures.

1. Title of the Project:
2. Research area/field:
3. Name of Principal Investigator:
4. Names of other Team Members:
5. Name of University, Host or Research Institute:
6. Name of Faculty/Department (if any):
7. Name of Head of Research Institute/Faculty/Department:
8. Name, job title, and contact details for the person who is responsible for filling out this form (this person shall also be the designated Environmental Safety Coordinator):

Name:

Job Title:

Telephone number:

Fax number:

E-Mail address:

Date:

Signature:

### 9. Brief Project Description

Please, provide information on the type and scale of the Project, including project location.

### 10. Research Environment and Laboratory set-up

(a) Describe the area (urban, rural), topography and vegetation at the research site.

(b) Describe the set-up of the laboratory and/or workshop (size, amount of sinks, windows, ventilation arrangements, etc.) in which the research will take place.

(c) Is there any kind of special waste (specify below) that would be produced by the research project? Yes\_\_\_\_\_ No\_\_\_\_\_

(i) Sharps (all sharp objects that could cause a cut or puncture -whether infectious or not-including hypodermic needles, suture needles, injector tips, scalpels, lancets, knives, blades, razors, pipettes, and broken glass, etc.).

Yes\_\_\_\_\_ No\_\_\_\_\_

(ii) Hazardous biological waste (body fluids, blood, organs, body tissue, culture dishes, microbiological slides and cover slips, etc.).

Yes\_\_\_\_\_ No\_\_\_\_\_

(iii) Radioactive waste (Solids, liquids and gaseous waste contaminated with radionuclides and all radioisotopes)

Yes\_\_\_\_\_ No\_\_\_\_\_

(iv) Hazardous chemical waste (Any substance, liquid or solid, with at least one of the following properties: explosive, flammable, toxic, corrosive, locally chafing, reactive or genotoxic -carcinogenic, mutagenic, teratogenic- including cytotoxic drugs. Also, all containers contaminated by these substances) Yes\_\_\_\_\_ No\_\_\_\_\_

(v) Others (describe).

Yes\_\_\_\_\_ No\_\_\_\_\_

(d) If you answered "Yes" to question c above, please:

i) Describe how each of the special waste will be classified, treated and disposed of:

ii) Who will be in charge of assuring that the disposal of waste will be according to acceptable national and international guidelines?

11. Construction

Will there be any minor or major construction under the project?

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects.

12. Rivers and Lakes Ecology

Is there a possibility that the project will adversely affect the river and lake ecology? Attention should be paid to water quality and quantity; the nature, productivity and use of aquatic habitats, and variations of these over time.

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects.

13. Protected areas

Does the project occur within/adjacent to any protected areas designated by government (national park, national reserve, world heritage site etc.)?

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects.

If the project is outside of, but close to, any protected area, is it likely to adversely affect the ecology within the protected area areas (e.g., interference with the migration routes of mammals or birds)

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects.

14. Geology and Soils

Based upon visual inspection or available literature, are there areas of possible geologic or soil instability (erosion prone, landslide prone, subsidence-prone)?

Yes\_\_\_\_\_ No\_\_\_\_\_

Based upon visual inspection or available literature, are there areas that have risks of large scale increase in soil salinity?

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects of your project on the soil.

15. Landscape/aesthetics

Is there a possibility that the project will adversely affect the aesthetic attractiveness of the local landscape?

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects.

16. Historical, archaeological or cultural heritage site.

Based on available sources, consultation with local authorities, local knowledge and/or observations, could the project or constructions under the project alter any historical, archaeological or cultural heritage site or require excavation near the same?

Yes\_\_\_\_\_ No\_\_\_\_\_

If yes, describe how you will manage/mitigate the adverse effects.

17. Resettlement and/or Land Acquisition  
Will involuntary resettlement, land acquisition, or loss, denial or restriction of access to land and other economic resources be caused by project implementation?  
Yes \_\_\_\_\_ No \_\_\_\_\_  
If yes, describe how you will manage/mitigate the adverse effects.
18. Loss of Crops, Fruit Trees and Household Infrastructure  
Will the project result in the permanent or temporary loss of crops, fruit trees and household infrastructure (such as granaries, outside toilets and kitchens, etc)?  
Yes \_\_\_ No \_\_\_\_\_  
If yes, describe how you will manage/mitigate the adverse effects.
19. Noise pollution during Construction and Operations.  
Will the operating noise level exceed the allowable noise limits?  
Yes\_\_\_ No\_\_\_\_\_  
If yes, describe how you will manage/mitigate the adverse effects.
20. Other environmental and social effects  
Describe any other adverse effects the project will cause and your plans to manage/mitigate those effects.

## Annex Six: Project Reporting Format

Uganda National Council for Science and Technology Research and Technology Development Grants Program	Progress or Final Report Signature Page Form 1
(Check one) <input type="checkbox"/> Uganda-South Africa Collaboration <input type="checkbox"/> SGCI <input type="checkbox"/> Other	
AWARD NUMBER: _____ PROJECT Quarter (Check one): <input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> Final PROJECT PERIOD DATES from: _____ to: _____ (Check one): <input type="checkbox"/> Quarterly Progress Report <input type="checkbox"/> Final Report PRINCIPAL INVESTIGATOR(S): _____ PROJECT TITLE: _____ INSTITUTION: _____ ADDRESS: _____ TELEPHONE: _____ FAX: _____ EMAIL: _____ WEBSITE: _____ .	
PRINCIPAL INVESTIGATOR ASSURANCE: I certify that the statements in this report are true, complete**, and accurate to the best of my knowledge . Signature of PI Named Above (In ink. Electronic signature is acceptable.) _____ Date _____	
INSTITUTIONAL ASSURANCES: I certify that the statements in this report are true, complete**, and accurate to the best of my knowledge. Signature of head of institution named below (In ink. Electronic signature is acceptable.) _____ Date _____ HEAD OF HOST INSTITUTION: _____ ADDRESS: _____ TELEPHONE: _____ FAX: _____ EMAIL: _____ .	

\*For all Collaborative Grants, each PI must submit a separate copy of this page.

\*\*A complete report includes Forms 1 through 8. Both signatures must be present on this page. Enclose renewals of Animal and Human subjects' approval documents, if needed.

Uganda National Council for Science and Technology Research and Technology Development Grants Program	Progress or Final Report ABSTRACT Form 2
(Check one) <input type="checkbox"/> Uganda-South Africa Collaboration <input type="checkbox"/> SGCI <input type="checkbox"/> Other	
AWARD NUMBER: _____ PROJECT Quarter (Check one): <input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> Final	
PRINCIPAL INVESTIGATOR(S): _____	
PROJECT TITLE: _____	
INSTITUTION: _____	
<p>Provide an abstract in lay language that is informative and covers the work accomplished using the specific funding provided by this grant. Do not use the same abstract text as in the original application or already posted on the program's website. Include the following information: 1) a brief overview of topic being studied; 2) the degree to which the stated project aims were successfully completed; 3) barriers that were overcome or not overcome; 4) a summary or list of the major accomplishments of the research project; and 5) plans for continuation of the project topic. Focus on the novel findings supported by this grant, and distinguish this funding from any other related funding to the PI or laboratory/research facility by other grants or agencies. "Cut-and-paste" abstracts from earlier reports or the application are not allowed. Do not use technical terms or acronyms without defining them.</p> <p>NOTE: Please also submit a text-only file of your abstract via email to the appropriate program ( SGCI@uncst.go.ug or UG-SA@uncst.go.ug ) using the format example given in the grants management manual. Include title of project, PI's name, degree and institution.</p>	

Uganda National Council for Science and Technology Research and Technology Development Grants Program	Progress or Final Report SUMMARY OF SCIENTIFIC PROGRESS Form 3
(Check one) <input type="checkbox"/> Uganda-South Africa Collaboration <input type="checkbox"/> SGCI <input type="checkbox"/> Other	
AWARD NUMBER: _____ PROJECT Quarter (Check one): <input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> Final	
PRINCIPAL INVESTIGATOR(S): _____	
PROJECT TITLE: _____	
INSTITUTION: _____	
Has this project resulted in a patent or license?	NO Yes (If yes, complete Form 8)

Provide a detailed account of the progress that was made during the reporting period toward achievement of the specific aims of the investigation, including the rationale for any changes in the specific aims or objectives of the project and a discussion of experimental results. The summary must include:

1. The overall scientific goals of the research project in 1-3 sentences.
2. A list of each specific aim, followed by an account of progress made toward its accomplishments. Include a summary of experimental results, the obstacles overcome or not overcome and the degree to which each specific aim was successfully completed. Link the successful achievement of aims with any publications or meeting abstracts that include both the PI and an acknowledgement of this grant support.
3. A list of any changes in activities and the reasons for this change.
4. Novel findings in the research project that were not covered in the application or previous report. Explain these additions to the project.
5. The major research milestones achieved during the reporting period. Postdoctoral fellows, dissertation award recipients, and new investigators should also focus on "new training" accomplishments.
6. A list of next quarter's research activities (Quarterly Report) or future activities (Final Report) related to this research topic.

Do not exceed 5 pages; number any additional pages as 3a, 3b, 3c, etc.

(Collaborative Grants must submit one combined Progress Report.)

(See Section on individual program reporting requirements in the grants management manual.)

(Check one)  Uganda-South Africa Collaboration  SGCI  Other

AWARD NUMBER: \_\_\_\_\_ PROJECT Quarter (Check one):  1<sup>st</sup>  2<sup>nd</sup>  3<sup>rd</sup>  Final

PRINCIPAL INVESTIGATOR(S): \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

INSTITUTION: \_\_\_\_\_

List all key project personnel named in the application. In the "previous" column indicate the months devoted to the project either approved when the grant was funded or during the previous reporting period. Then, under the "new" column indicate changes during the current reporting period. Append biographical sketches for each new key personnel. For all key personnel describe any changes in role. The Principal Investigator must maintain at least the minimum effort as indicated in the grants management manual section on Key project personnel. Completing the form by indicating "no changes" is not acceptable.

Name, Role in project	Person months devoted to project				Describe Changes in role	Date of change Mm/dd/yy
	Q1	Q2	Q3	Q4		
Uganda National Council for Science and Technology Research and Technology Development Grants Program					Progress or Final Report SUMMARY OF SCIENTIFIC PROGRESS Form 5	
(Check one) <input type="checkbox"/> Uganda-South Africa Collaboration <input type="checkbox"/> SGCI <input type="checkbox"/> Other						
AWARD NUMBER: _____ PROJECT Quarter (Check one): <input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> Final						
PRINCIPAL INVESTIGATOR(S): _____						
PROJECT TITLE: _____						
INSTITUTION: _____						
Has this project resulted in a patent or license?      NO      Yes (If yes, complete Form 8)						

Provide a detailed account of the progress that was made during the reporting period toward achievement of the specific aims of the investigation, including the rationale for any changes in the specific aims or objectives of the project and a discussion of experimental results. The summary must include:

1. The overall scientific goals of the research project in 1-3 sentences.
  2. A list of each specific aim, followed by an account of progress made toward its accomplishments. Include a summary of experimental results, the obstacles overcome or not overcome and the degree to which each specific aim was successfully completed. Link the successful achievement of aims with any publications or meeting abstracts that include both the PI and an acknowledgement of this grant support.
  3. A list of any aims that were discontinued and the reasons for this change.
  4. New aims or novel findings in the research project that were not covered in the application or previous report. Explain these additions to the project.
  5. The major research milestones achieved during the reporting period. Postdoctoral fellows, dissertation award recipients, and new investigators should also focus on "new training" accomplishments.
  6. A list of next quarter's research goals (Quarterly Report) or future activities (Final Report) related to this research topic.
- The text should focus on the research support provided by this grant and not include results obtained from funding by other grants or agencies.

Do not exceed 5 pages; number any additional pages as 3a, 3b, 3c, etc.

(Collaborative Grants must submit one combined Progress Report)

(See Section on individual program reporting requirements in the grants management manual)

Uganda National Council for Science and Technology Research and Technology Development Grants Program	Progress or Final Report Publications Form 6
(Check one) <input type="checkbox"/> Uganda-South Africa Collaboration <input type="checkbox"/> SGCI <input type="checkbox"/> Other	
AWARD NUMBER: _____ PROJECT Quarter (Check one): <input type="checkbox"/> 1 <sup>st</sup> <input type="checkbox"/> 2 <sup>nd</sup> <input type="checkbox"/> 3 <sup>rd</sup> <input type="checkbox"/> Final	
PRINCIPAL INVESTIGATOR(S): _____	
PROJECT TITLE: _____	
INSTITUTION: _____	
List all publications and presentations within the reporting period that were supported by and acknowledge this award. Please use the APA Style format. All scientific publications resulting from research conducted with support from the Special Research Programs must acknowledge the receipt of such support. List all items "in press". Include reprints or copies of all publications.	
JOURNAL ARTICLES	
CHAPTERS	



MEETING ABSTRACTS (name of meeting, date, location, title, author, abstract or page)

OTHER PRESENTATIONS (Organization, location, date, title of presentations)

Uganda National Council for Science and Technology  
Research and Technology Development Grants Program

Progress or Final Report  
Patents and Licenses  
Form 7

(Check one)  Uganda-South Africa Collaboration  SGCI  Other

AWARD NUMBER: \_\_\_\_\_ PROJECT Quarter (Check one):  1<sup>st</sup>  2<sup>nd</sup>  3<sup>rd</sup>  Final

PRINCIPAL INVESTIGATOR(S): \_\_\_\_\_

PROJECT TITLE: \_\_\_\_\_

INSTITUTION: \_\_\_\_\_

Provide a list of all patents or licenses that have been applied for or issued, and formal invention disclosures, of any discovery that was developed, in whole or in part, with funds from this grant. Do not submit confidential information.

Indicate the name of the patent or license and the term for which the patent or license is in effect. Principle Investigators should provide reference information such as internal case docket numbers together with other available information that has been made public, if any (e.g., other identifier numbers and date of the filing).

Describe the invention and its potential importance. Also, please describe any effort to date or plan to commercialize the discovery.



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