SAIS SOUTHERN AFRICA INNOVATION SUPPORT

INNOVATION FUND MANUAL

SAIS 2 (2017 – 2021)

November 2018

Southern Africa Innovation Support Programme (SAIS 2)
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INNOVATION FUND MANUAL

SAIS 2 (2017 – 2021)
3rd Edition (November 2018)

2018 SAIS 2 GUIDE FOR APPLICANTS

2018 SAIS 2 GUIDE FOR PROJECT IMPLEMENTATION

Call identifier SAIS 2/2018/2

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ABBREVIATIONS

BIH	Botswana Innovation Hub
CN	Concept Note
COSTECH	Tanzania Commission for Research, Science and Technology
FP	Full Proposal
M&E	Monitoring and Evaluation
MDS	Milestone and Disbursement Schedule
MFA	Ministry for Foreign Affairs of Finland
NCRST	National Commission for Research, Science and Technology of Namibia
NGO	Non-Governmental Organisation
NTBC	National Technology Business Incubator of Zambia
PMO	Programme Management Office
PR	Pre-registration
RFP	Request for Proposal
RFQ	Request for Price Quotations
SADC	Southern African Development Community
SAIS 2	Southern Africa Innovation Support Programme (SAIS 2)
SVB	Supervisory Board
TIA	Technology Innovation Agency of South Africa
ToR	Terms of Reference

ABOUT THIS MANUAL

The SAIS 2 Innovation Fund Manual 2017-2021, 3rd Edition (November 2018) describes (i) how to prepare an application for the Concept Note (CN) stage for the second phase of the Southern Africa Innovation Support Programme (SAIS 2) Call for Proposals 2018/2/CN and (ii) how to successfully implement a project with SAIS 2 Innovation Fund Support.

The first part, SAIS 2 Guide for Applicants, contains the instructions and templates for the Concept Note and background information required for the preparation and submission of a project Concept Note. It also provides an overview to the preparation of Full Proposal which is the 2nd stage of the Call for Proposal process and only for those projects that are invited to do so by SAIS 2.

This guide indicates the types of actions required to respond to the Call for Proposals (2018/2/CN) and explains the expected themes for each Call Window. Next, it provides information on the funding regimes available and on the eligibility criteria in terms of country of origin and the consortium set-up. It then sets out to outline the evaluation and selection criteria and procedures. The guide concludes with a timetable and description of support services available to applicants and refers to other supporting documents, reports, forms and software tools for the preparation of a Concept Note. The annexes contain a glossary of SAIS 2-related terms and document templates useful for the preparation of a Concept Note.

The primary purpose of the second, the *SAIS 2 Guide for Project Implementation*, is to advise SAIS 2 Innovation Fund grant recipients on how to manage their projects and administer the related grants in accordance with the project grant agreement. The grant agreement is signed between the National Commission of Research, Science & Technology (NCRST) acting as the contracting authority on behalf of SAIS 2 and the Project Coordinator representing the consortium. In addition to the persons directly involved in project implementation, the guidelines also target administration staff responsible for finance, communication and project support.

The first and second parts of this guide, *SAIS 2 Innovation Fund Manual* 2017-2021, 3rd Edition (November 2018) constitute the Information Package for the Concept Note stage of SAIS 2 Call for Proposals 2018/2. These documents comprise all the information applicants need to prepare the Concept Note. After the evaluation of Concept Notes, an *Addendum SAIS 2 Guide for Applicants 2018/2/FP (Full Proposal)* will be provided for projects invited by the SAIS 2 Programme Management Office (PMO) to submit the Full Proposal.

The SAIS 2 Call for Proposals 2018/2/CN is published in the national daily newspapers of the SAIS 2 partner countries, Botswana, Namibia, South Africa, Tanzania and Zambia, on the SAIS 2 Programme website and on the National Focal Point[1] websites (in the English language). The official language medium for the Call, Concept Note, Full Proposal and other documentation related to the SAIS 2 Innovation Fund is English. The published Call for Proposals has legal precedence over this SAIS 2 Innovation Fund Manual 2017-2021,

1 The National Focal Points for SAIS are: Botswana – The Botswana Innovation Hub (BIH), Namibia – The National Commission on Research, Science and Technology (NCRST), South Africa – The Technology Innovation Agency (TIA), Tanzania – The Tanzania Commission for Science and Technology, (COSTECH) and Zambia – The National Technology Business Centre (NTBC).

3rd Edition (November 2018) and the forthcoming Addendum SAIS 2 Guide for Applicants 2018/2/FP (Full Proposal). The Guide for Applicants 2018/2/FP (Full Proposal) to be published in Q1 2019 for the projects invited to submit Full Proposal assumes that the reader has acquainted him or herself with the SAIS 2 Call for Proposals 2018/2/CN and this document.

This guide is subject to revisions by the SAIS 2 PMO and SAIS 2 Supervisory Board (SVB). The SAIS 2 PMO informs recipients of any revisions, and the latest version is always available on the SAIS 2 website (www.saisprogramme.org). In case of any uncertainty regarding the contents of the guide, clarifications and further guidance will be given by the SAIS 2 PMO upon request, either via e-mail (info@saisprogramme.org) or through the SAIS 2 website (www.saisprogramme.org).

All the afore-mentioned documents, together with additional background documents are available at the SAIS 2 website (http://www.saisprogramme.org).

01

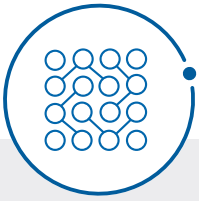
2018 SAIS 2 GUIDE FOR APPLICANTS

1 SAIS 2 PROGRAMME OBJECTIVES

The Southern Africa Innovation Support Programme (SAIS) is a regional initiative set up in 2011 by the Ministry for Foreign Affairs of Finland with support from the Southern African Development Community (SADC) secretariat and four national governments from the region. The objective has been to enhance cooperation amongst innovators in Southern Africa through strengthening the national systems of innovation. In the first four years (2011-2015), SAIS stimulated regional policymaking on innovation, provided training, created networks and funded projects that piloted new models for innovation support mechanisms. The second phase (2017-2021) of the programme continues to build on previous achievements, bringing into partnership the governments of Botswana, Namibia, South Africa, Tanzania, Zambia and the secretariat of the SADC.

The second phase of SAIS (SAIS 2), comes at a time when innovation is increasingly steered by demand and hence more attention has to be paid to various customer, client and stakeholder groups which need to be part of the innovation process. Following this, SAIS 2 provides grants to projects that seek to pilot, demonstrate and replicate new or improved concepts and prototypes with the users at the market before rolling them out as products, services or processes. The objective is to support entrepreneurship[2] and entrepreneurial operations at the local level, as well as to increase cooperation among innovation support organisations by sharing of practical understanding of the innovation ecosystems[3] operations and activities that assist entrepreneurs across the SADC region.

The programme has three result areas:



Institutional development for regional innovation cooperation – improved capacity of innovation support organisations in terms of expertise and delivery to support private sector innovation and enterprise development.

Innovation in enterprises – improved capacity of enterprises to innovate and to enter new markets.

Inclusive innovation – improved enabling environment for inclusive innovation activities in the region.

SAIS 2 emphasises the support of concrete innovation activities and delivery on a programmatic basis to targeted beneficiaries proposed by the applicants. The proposed activities should be laid out in the form of projects, i.e. comprising a well-defined goal, specifying the composition of the Project Members (an organisation that has acquired project members or a group of organisations in partnership) within a set period of time with specific activities and resources, such as finances and labour[4].

2 Entrepreneurship is an individual's ability to turn ideas into action. It includes creativity, innovation, risk taking, ability to plan and manage projects in order to achieve objectives.

3 The term innovation ecosystem refers to clusters and networks of entrepreneurs, inventors, firms, universities, research labs, government agencies and other institutions, and the resources they bring to bear on the development of new or improved processes, products or services.

4 SAIS 2 defines a project as a temporary activity in that it has a set beginning and end in time, and therefore has a clearly outlined scope and set of resources. A project is unique in that it is not a routine operation, but a specific set of operations designed to accomplish a singular goal. See e.g. Project Management Institute (PMI): https://www.pmi.org/

The total budget (purse) of the SAIS 2 Innovation Fund is 4.3 million Euros, excluding core-funding from the Ministry for Foreign Affairs of Finland and local counter funding.

SAIS 2 financing is allocated on a competitive basis with Calls for Proposals organised two times during the programme duration (2017-2021). Both calls are scheduled to open in 2018.

The SAIS 2 proposal process is a two-stage process: Interested applicants first submit a Concept Note for evaluation and in a second step – if invited by SAIS 2 – submit a Full Proposal for evaluation. After the final evaluation, selection of shortlisted projects and a due diligence process, the SAIS 2 SVB approves the final list of projects, and grant agreement negotiations commence between the consortium Project Coordinator and SAIS 2 Project Management Office (PMO).

The SAIS 2 PMO works in close cooperation with the National Commission for Research, Science and Technology of Namibia (NCRST) in implementing the SAIS 2 Innovation Fund. NCRST is the key partner in administrating the SAIS 2 Innovation Fund grants provided for project consortiums. NCRST is also responsible for the disbursement in tranches of the grant to the projects. While implementing the SAIS 2 Innovation Fund projects with the grant provided, recipients are expected to follow the NCRST rules and guidelines on financial management (provided as a stand-alone document).

In addition to the NCRST, SAIS 2 PMO works with Focal Points that are national innovation institutions with strong capacities for promotion, business support, identification of innovation opportunities as well as monitoring and evaluation (M&E) from each of the SAIS 2 countries. The Focal Points s are NCRST, Botswana Innovation Hub (BIH), Tanzania Commission for Research, Science and Technology (COSTECH), National Technology Business Incubator of Zambia (NTBC) and the Technology Innovation Agency (TIA) of South Africa.

2 SAIS 2 CALL FOR PROPOSALS

2.1 Themes: Scaling Enterprises, Stronger Ecosystems, Inclusive Innovations

The proposed activities for SAIS 2 Innovation Fund support are expressed in the form of projects as defined in the SAIS 2 Programme Objectives (the SAIS 2 Revised Programme document is provided as a standalone document to be read with this manual).

The SAIS 2 Call for Proposals (2018/2) will fund projects under three thematic areas, namely stronger ecosystems, scaling enterprises and inclusive innovations. The projects receiving funding under each thematic area need to contribute to the SAIS 2 objective of regional collaboration and learning, and should thus:

1. be thematically aligned with innovation[5] and, more specifically, support young entrepreneurs and enhance entrepreneurship;

2. be transnational in scope, i.e. satisfy needs in a minimum of two partner countries;

5 SAIS understands innovation in line with the OECD definition as new and significantly improved products (goods and services) and processes. SAIS also emphasises the importance of the use of technology in innovation processes. Hence the focus of SAIS support to innovation is on "technologically" new or improved products and processes. It follows that a "technological" product innovation is the implementation/commercialisation of a product with improved performance characteristics, such as to deliver objectively new or improved services to the consumer. A technological process innovation is the implementation/adoption of new or significantly improved production or delivery methods. It may involve changes in equipment, human resources, working methods or a combination of these. See: Oslo Manual. Guidelines for Collecting and Interpreting Innovation Data, 3rd Edition. OECD, Eurostat. 2005. http://www.oecd-ilibrary.org/science-and-technology/oslo-manual_9789264013100-en

3. include a minimum of one organisation from SAIS 2 Partner Country[6] and two countries in the SADC region;

4. address physical and cultural connectivity and issues/obstacles for collaboration;

5. address Intellectual Property Rights (IPR) (in compliance with guidelines provided in the Annex 5 of this document) and trust/ confidence issues by putting in place appropriate mechanisms for knowledge sharing; and,

6. commit to regularly share project progress through SAIS 2 platforms (on-line and annual event).

The SAIS 2 Innovation Fund provides grants for early-stage projects that seek to validate the feasibility of innovations at the market. Alternatively, the project proposed for SAIS 2 funding is based on an already existing, well-functioning product/service/process but seeks to replicate it in a new market and/or in another SADC country.

For early-stage projects, the product/service/process model should at least exist as a concept or prototype already and should be intended for use in at least one SAIS 2 Partner Country where the proof-of-concept is sought. Information on the proposed concept or prototype must be available. If the project entails a mature product/ service seeking validation in new markets, the intended market(s) should be located in at least one SAIS2 partner country or SADC member state outside that where the service is already in use and must be included as intended markets.

Proposed projects should be at the following stages of the development:

(I) Proof of concept: Piloting of a concept that targets beneficiaries in a specific country/market context to gain an early, real world assessment of the technical and financial viability of the proposed concept/ prototype.

(II) Testing impact and delivery: Testing a proven concept for social impact, improved outcomes and/ or market viability, as well as operational refinement to build paths to sustainability and potential scale.

(III) Scaling-up: Adaptation of an evaluated innovation to new contexts or geographical areas within the SADC region.

The SAIS 2 Innovation Fund does not take any equity on either the products/services/concepts or the organisations supported.

6 SAIS 2 Partner Countries are: Botswana, Namibia, South Africa, Tanzania, Zambia

SAIS 2 is an implementation programme and hence it will not support:

- Projects that exclusively focus on research.
- Projects that exclusively focus on market surveys.
- Projects that exclusively focus on policy development.
- Projects that exclusively focus on capacity building or training.

The proposed Project should cover a part of the natural process of product/service/process rollout and/ or be an integral part of the activities of the organisations submitting the proposal. This means that SAIS 2 does not support projects prepared solely for the purpose of obtaining a SAIS 2 Innovation Fund Grant. The proposed project should show the potential or recently identified needs in the user population and emphasise the validation of the assumed provision of a new or improved product/ service/ process to the market rather than develop a completely new technology or an idea. The emphasis should be on validating the assumed

technology and business model of the new or improved product/service/process to the market rather than the developing completely new technology or an idea. As such, a proposed project can seek support to identify the target market and to verify the demand of the proposed innovation (concept or prototype) and its technical features amongst targeted markets. SAIS 2 funded projects should also seek to verify the positioning and value of the proposed innovation amongst clients, as well as to validate the assumptions on how the innovation will be delivered and what kind of resources are needed to sustain the innovation on the market. The final deliverable of a SAIS 2 Innovation Fund project should be a validated product/ service/process and a business plan.

Proposals submitted to SAIS 2 Innovation Fund are expected to contain a full description of the proposed project, including for example the project phase(s), the nature of the proposed work; the purpose of the work, the benefits that will accrue, the participants and their roles and an estimate of the total investment required to complete the project as a whole. It should describe the service clearly and contain a deployment strategy and a complete and realistic work plan.

2.2 Call Windows and Specific Sub-themes

Interested applicants are invited to respond to the SAIS 2 Call for Proposals 2018/2 in one of the Call Windows described below.

Window 1: Developing institutional Capacity for Regional Innovation Cooperation

Context: The innovation process is changing from closed and linear to open and iterative, providing opportunities to a new breed of innovators such as start-ups, NGOs and citizens. Cities and peri-urban areas will thus become platforms for innovation, facilitating the rapid diffusion of new ideas within and across communities regardless of their geographical location. Dense environments with a diverse population provide a testing ground to pilot solutions on different user groups and an opportunity to marshal resources for upscaling. Innovation support organisations everywhere need new knowledge to gain a better understanding

of the ecosystems, of how various role-players and initiatives can relate to each other and how they learn and collaborate by applying cross-cutting knowledge for generation of innovations.

Objective: Window 1 supports projects that develop better understanding of innovation ecosystems in the SADC region and that build capacity in innovation support organisations to better assist their clients in supporting early stage entrepreneurs.

Target applicants: Window 1 targets innovation support organisations and networks that advise policy-makers and other actors in innovation policy, entrepreneurship and ecosystems development. Academia and research organisations with a track record of improving the design, implementation and evaluation of innovation activities are encouraged to apply.

Project examples:

1. Projects on policy design and implementation for the benefit of start-up and early-stage growth enterprises in local ecosystems.

2. Projects on the alignment of incentives and initiatives to promote transnational collaboration among entrepreneurial clusters and business networks.

3. Development of new methodologies on the design of innovation projects in a manner that they support common goals and provide shared value for various stakeholders in their ecosystems.

4. Development of mechanisms that improve the design, implementation and evaluation of initiatives via proposal of new technologies or the development of appropriate methodologies and technology-enabled tools to monitor the readiness of an ecosystem to adopt new innovation instruments.

5. Development and roll-out of train-the-trainer programmes to promote the adoption of new skills-sets amongst (young) entrepreneurs.

Window 2: Scaling Enterprises through stronger Innovation Support Organisations

Context: Innovativeness is based on the skills and creativity of individuals, but innovators seldom triumph in isolation. Success is linked to incentives and other support mechanisms, but also to clear goal- and problem-setting at the target market level. Innovation support organisations that host and coach entrepreneurs, are focal nodes in the connection of local actors and resources for joint activities. They are also increasingly operating on an international level, with the ambition to improve the linkage of local knowledge to global exchange and to channel this for the benefit of local entrepreneurs. By combining the knowledge from global networks to the understanding of local markets, platforms like SAIS 2 can help entrepreneurs to turn their concepts/ prototypes into innovations in new markets and open up opportunities for wider ecosystem development servicing entrepreneurs.

Objective: Window 2 supports projects with a two-fold objective: (1) to help early-stage entrepreneurs (enterprises less than three years old) to validate, pilot and roll-out their concepts and prototypes as products/services/ processes on the market and (2) to strengthen innovation support organisations ability to assist their partner entrepreneurs as well as to support their role as orchestrators of joint activities between innovation role players within and across different ecosystems.

Target applicants: Window 2 targets innovation support organisations (incubators, accelerators, hubs, labs and tech transfer offices) that host early-stage enterprises such as start-ups and growth companies (in existence for approximately three years) on their premises and provide them with technical, financial or other support. Cross-border cooperation at intermediary level is encouraged in order to learn and exchange good practice. Likewise, proposals from networks comprising innovation support organisations are welcomed. Target applicants are thus not not single enterprises, startups or entrepreneurs, but innovation support organisations hosting and assisting early-stage enterprises.

Table 1 Example of Project Structure proposed for Call Window 2

Innovation Support Organisation A		
Innovation Support Organisation Project 1 (Example: Development of Training Module for Women Entrepreneurs) Budget: 70k Euro		
Enterprise A	Enterprise B	Enterprise X
Enterprise Project 1 Market validation product X Budget 70k Euro	Enterprise Project 2 Market validation product Y Budget 80k Euro	Enterprise Project 3 Market validation product Z Budget 70k Euro

Grants can be used to support work that addresses the needs of both the Innovation Support Organisation and their partner entrepreneurs/enterprises. Thus, a proposal should apply for grants to support both (a) enterprise projects owned by entrepreneurs tasked to validate the market and/or roll out their innovation to the local and/or regional market and (b) projects owned by Innovation Support Organisations tasked to strengthen their operational activity as envisaged in their own business plan.

Project examples: Innovation Support Organisations are expected to submit a proposal that includes a description of the proposed grant-receiving enterprise projects with their registered enterprises. **The proposal can be submitted only by the Innovation Support Organisation and it should combine both enterprise projects to be implemented by the entrepreneurs as well as the Innovation Support Organisation's own development project(s).** The SAIS 2 grants are provided only to the Innovation Support Organisations that are contractually responsible for all of the enterprise's projects and the enterprises (and entrepreneurs) they propose for financial support. The evaluation of the proposal submitted by the Innovation Support Organisation is based on the quality of the whole consortium, including the description of the proposed grant-receiving enterprise projects run by the registered enterprises and the entrepreneurs behind them. The Innovation Support Organisation is solely responsible for channelling the financial support of the SAIS 2 Innovation grant to the rest of the consortium, i.e. enterprise projects according to the project plan submitted as part of the Final Proposal.

The Proposal should specify (a) the work plan, the number of enterprise projects included and the funding required to support each enterprise project withintheoverallSAIS 2 grant applied for and (b) the work plan and funding required to support the Innovation Support Organisation's project within the overall SAIS 2

grant applied for. While it is up to the consortium to decide which percentage (%) they propose to allocate to each enterprise project and the Innovation Support Organisation's project, they should note that the proposal must include a minimum of three (3) enterprise projects, and that no more than 30% of the grant funding can be used for the Innovation Support Organisation's own project.

Window 3: Inclusive Innovation

Context: Successful innovations are demand-driven, requiring engagement of users and consumers in the design and delivery of products, services or processes. Parallel-enhanced connectivity and new technology, such as inexpensive mobile phones and the use of social media, are radically altering citizens' behaviour everywhere. This paradigm shift provides an opportunity for even the most resource-constrained public authorities to invest in low-cost development of innovative, technology-enabled services. It is also an opportunity for entrepreneurs to consider how to advance the creation of quality, affordable, accessible and sustainable solutions in and for socially and/or economically challenged communities. Innovation support organisations are in a good position to promote the adoption of open approaches for the delivery of services to and with communities where individuals are still excluded due to gender and/or economic or social reasons.

Objective: Window 3 supports projects that develop better understanding amongst (social) entrepreneurs and innovation support organisations on technologies and methods facilitating collaborative development of innovations with socially and economically excluded communities. The projects can generate, package and deliver knowledge in this field through outputs such as tools, methodologies, or programmes that can be further used by the organisations working with disadvantaged groups. Projects could also help entrepreneurs to cope with technological advances in a way that improves (public) service delivery at a relatively low cost, identifies new business opportunities amongst communities and fosters a better relationship between municipal governments and citizens at large.

Target applicants: SAIS 2 Call on Window 3 targets innovation support organisations (incubators, research/academia and NGOs) that host and/or train social entrepreneurs or entrepreneurs with social goals to design innovations that have a positive impact on excluded communities in the markets. The Window 3 focuses on applications that directly or indirectly enhance human rights and/or socially responsible businesses that empower disadvantaged groups such as women-led business and/or related activities.

Project examples:

1. Networked initiatives that bring together entrepreneurs and other role players to learn about the design and take-up of innovations servicing excluded communities in cities and peri-urban areas.

2. Support roll-out of local development initiatives targeted at reducing poverty by training social enterprises/ entrepreneurs to design and develop their services, products and processes through participatory design and/ or co-creation with users/user communities.

3. Involvement of hackathons and capstone projects that bring together innovators, public authorities, NGOs and citizens to jointly pilot, analyse, and package technologies, approaches and processes to deliver enhanced products and services to citizens.

4. Special emphasis on potential female entrepreneurs as well as entrepreneurs from other socially disadvantaged or vulnerable groups, such as migrants or persons with disabilities.

2.3 SAIS 2 Innovation Fund Grant & Project Implementation Agency

SAIS 2 funding is available to organisations from the public and private sectors and civil society. Applicants must be enterprises, public bodies or non-profit organisations, i.e. they must be so-called legal persons.

NB: Individual persons are not eligible to apply for a SAIS 2 grant.

SAIS 2 emphasises on cross-border collaboration, thus replication of good practice and exchange of knowledge within and across ecosystems is required. Proposals can be submitted by a combination or a group of organisations formed to undertake the implementation of the proposed project. The scale of projects supported by SAIS 2 may exceed the resources of any one member of such groups.

For the purpose of SAIS 2, group undertakings are defined as the Project Consortium, which comprises of an association of two or more companies, organisations or governments with the objective to participate in a common activity and/or pool their resources to achieve a common goal through a project supported by the SAIS 2 Innovation Fund. The Project Coordinator leads the group and has the responsibility to keep all parties informed of the group's progress and undertakings throughout the application process. Prior to any commitment to submit a proposal to the SAIS 2 Innovation Fund, the group must discuss, decide, identify and commit to their respective roles in the project; they should realistically estimate resources such as personnel and finance and define a realistic 'business' target that addresses a real need. Once consensus has been reached on these matters, the Proposal is drafted and circulated to all partners until a final version is agreed on. All partners must be equallycommitted to the submission of an application and to the participation in the project. The Project Coordinator will submit the Proposal on behalf of the consortium.

2.3.1 Cross-Border Collaboration in a SAIS 2 Proposal

SAIS 2 expects consortiums to include in their proposals mechanisms that connect organisations to each other across borders to exchange practical knowledge and solutions on what works, where and why. Knowledge exchange , or peer-to-peer learning should be anchored in the context of identified development priorities of the project consortium. The consortiums should work within themselves to identify relevant and transferrable knowledge as well as the target beneficiaries with agreed practical goals that the planned exchange will support. Finally, they should also identify and select the right instruments (workshop, twinning, exchange, competitions etc.) to be used for different purposes. For example, they could organize study tours that expose participants to new ways of doing things and offer opportunities to share tacit knowledge, which may help in recognizing new opportunities, build networks, and apply these in different contexts. The Consortium should systematically document the implementation and track results with appropriate data collection mechanisms to understand how the information will be used once collected.

The Project Consortium applying for a grant from the SAIS 2 Innovation Fund must consist of at least two independent legal entities from two different SADC member states, of which only one can act as signatory to the grant agreement with the SAIS 2 Innovation Fund. The organisation signatory to the grant agreement with SAIS 2 Innovation Fund has to be a legal, registered entity in one of the five SAIS 2 partner countries, i.e. Botswana, Namibia, South Africa, Tanzania or Zambia.

The organisation signatory to the grant agreement with the SAIS 2 Innovation Fund is the organisation with the sole legal responsibility for the implementation of the project and administering of the SAIS 2 Innovation Fund grant as per the SAIS 2 Innovation Fund Grant Agreement and its annexes. The organisation signatory to the grant agreement with the SAIS 2 Innovation Fund is called the "Recipient".

The Recipient is the entity responsible for the coordination of the project and therefore also acts as the "Project Coordinator". The signatory organisation nominates a designated individual to act as "Project Manager". The representative of the organisation signatory to the grant agreement with the SAIS 2 Innovation Fund can be a different individual from the person nominated to act as a "Project Manager". However, the signing representative and the individual acting as "Project Manager" has to be employed in the same signatory organisation. The same signatory organisation can submit different Concept Notes to each SAIS 2 Call window and be invited to submit Full Proposals as long as the nature of proposed project is different and the Project Coordinator is not the same individual. Only one project per Call Window from the same signatory organisation can be selected for financing.

2.3.2 Project Consortium

A SAIS 2 Project Consortium can accommodate legal entities from other SADC member states as well as from countries outside from the SADC region. Other legal entities belonging to a Project Consortium cannot act as "Recipient" or "Project Coordinator", nor can the "Project Coordinator" represent any legal entities other than the "Recipient"/ "Project Coordinator". The Recipient must always be a legal entity from a SAIS 2 partner country.

Project Consortiums must have the expertise and resources (personnel, equipment, finance) necessary to successfully carry out the proposed project(s) and these should be convincingly integrated to form a coherent action. All the participants must have the financial means to carry their co-financing share of the project and have an adequate number of staff to implement the project. It is essential to have adequate and skilled project management resources available (e.g. Project Coordinator). The participants in the Project Consortium must be committed to the tasks assigned to them and there must be sufficient expertise between participants to ensure that all tasks can be properly executed.

Each Project Consortium that applies for SAIS 2 funding should fulfil the following minimum requirements:

1. It must consist of at least two impartial, registered legal entities from two SADC member states (Angola, Botswana, Democratic Republic of Congo (DRC), Lesotho, Madagascar, Malawi, Mauritius, Mozambique, Namibia, Seychelles, South Africa, Swaziland, United Republic of Tanzania, Zambia and Zimbabwe). One must be the Project Coordinator.

2. The Project Coordinator (Recipient) must be a registered legal entity from a SAIS 2 partner country, i.e. Botswana, Namibia, South Africa, Tanzania or Zambia.

3. Project activities are to be implemented in a minimum of two SADC member states, of which one has to be in a SAIS 2 partner country.

4. Participation outside SADC countries: SAIS 2 allows participation of entities from countries outside of SADC (such as from Finland) in projects, where such participation is of mutual interest and ensures the interoperability of products, services and applications. The participation is decided on a case-to-case basis. Participants from other countries are eligible to receive support from the SAIS 2 Innovation Fund Grant, but this may only amount to a maximum 10% of the entire grant amount provided for the project.

2.3.3 Project Coordinator

The Project Coordinator plays a critical role in the SAIS 2 Innovation Fund application process. The Project Coordinator is the main point of liaison for any communication related to the Proposal submitted to the SAIS 2 PMO. Project Coordinators can submit multiple Concept Notes to each of the SAIS 2 Call Windows. However, only one Concept Note from the same Project Coordinator per Call Window can be selected for Full Proposal stage. Consequently only one project per Project Coordinator per Call Window can be selected for a SAIS 2 Innovation Fund grant. Interested organisations can participate as Project Members of several projects submitting Concept Notes. The participation of organisations in submissions should, however, be made clear in each Concept Note.

2.3.4 Roles of Project Consortium Partners

The Project Consortium is expected to play different roles and have different responsibilities in implementing the project activities and is thus compensated differently, according to inputs provided.

The roles of the participants in a SAIS 2 Innovation Fund Project Consortium are defined in the following categories:

1. The Project Coordinator (Recipient) is a legal entity registered in a SAIS 2 partner country. The Project Coordinator manages, administers and coordinates the implementation of all activities and ensures timely reporting on both project progress and the use of financial resources. Women-led organisations and/or organisations promoting women are particularly encouraged to apply.

2. Project Members are legal, registered entities that are in agreement with the Project Coordinator to participate in the implementation of a specific part of the project and derive benefits from it. A Project Member is part of the Project Consortium. Project Members can come from SADC member states or from outside of the SADC region. Project Members from outside of the SADC region are eligible to receive SAIS 2 funding amounting to not more than 10% of the overall amount of the SAIS 2 Innovation Fund grant awarded to the project.

3. A Sub-Contractor is an individual or organisation that is procured only to provide services or products to the Project Consortium not available from the Project Coordinator or a Project Member. A Sub-Contractor is not part of the Project Consortium and is contracted for a limited time and scale based on specific skills/needs identified by the Project Coordinator only. The Project Consortium maintains openness and transparency in securing goods and services for the completion of projects. The overall amount of work allocated to one Sub-Contractor cannot exceed 5% of the overall value of a SAIS 2 Innovation Fund grant. The procurement of services/products provided is defined in the Guide for Project Implementation.

4. Support partners are organisations that have a mutual interest in their shared products, services or applications and can also form partnerships with the Consortium. Support partners are, for example, entities that support the Project Consortium, such as other funding entities that are not part of the Project Consortium. They can come from outside the SAIS 2 partner countries but are not eligible to receive any SAIS 2 Innovation Fund grant funding.

Female representation in the Project Consortium is encouraged.

2.3.5 Consortium Agreements

Consortium agreements should be concluded between the participants for the completion of the work. The consortium agreements may not infringe on the obligations set out in the SAIS 2 grant agreement. Consortium agreements normally cover the participation in the project and define, as far as possible, the exploitation of the results arising from the project. Consortium agreements can be particularly useful in projects involving a large number of participants. While the SAIS 2 PMO must be informed of consortium agreements, they are not subject to the SAIS 2 PMO's approval.

Consortium agreements and letters of co-operation between partners and agreements dealing with intellectual property rights (IPR), confidentiality and non-disclosure agreements (NDA) must be signed by all Project Members, indicating their key roles, responsibilities, rewards and the dissolution of the partnership or continuation at the end of the project duration. The form of these agreements may differ from institution to institution and therefore there is no standard template required by SAIS 2.

2.4 Funding Principles

2.4.1 Cost Models for SAIS 2 Call Windows

Window 1: STRONGER ECOSYSTEMS
Developing institutional Capacity for regional Innovation Cooperation

The amount requested should not be more than EUR 100,000 and not less than EUR 70,000, inclusive of Value Added Tax (VAT). The grant amount should not exceed 80% of the total project cost, and the total matching funding should equal 20% of the total cost. The full matching funding can be provided as in-kind contribution.

The duration of the grant and supported project is expected to be between 12-18 months from the date the agreement is signed.

Window 2: SCALING ENTERPRISES
Scaling Enterprises through stronger Innovation support organisations

The amount requested should not be more than EUR 250,000 and not less than EUR 180,000, inclusive of VAT. Under this window, the grant amount should not exceed 80% of the total project cost, and the total matching funding should equal 20% of the total cost. Of the matching funding, 10% can be provided in kind and 10% has to be provided in cash or as a bank guarantee.

The duration of the grant and supported project is expected to be between 18-24 months from the date the agreement is signed.

Window 3: INCLUSIVE INNOVATION

The amount requested should not be more than EUR 150,000 and not less than EUR 100,000, inclusive of VAT. Under this window, the grant amount should not exceed 80% of the total project cost, and the total matching funding should equal 20% of the total cost. The full matching funding can be provided as in-kind contribution.

The duration of the grant and supported project is expected to be between 12-18 months from the date the agreement is signed.

2.4.2 Matching Funding (Co-Financing)

In Window 1 and 3, the SAIS 2 projects are supported on an 80/20 basis, where 80% of funding is from SAIS 2, matched with 20% cash and/or in-kind contributions from the Project Coordinator and Project Members. In Window 2, the SAIS 2 projects are supported on an 80/10/10 basis, where 80% of funding is from SAIS 2, matched with 10% cash and 10% in-kind contributions from the Project Coordinator and Project Members. The cash contribution should be provided in the form of a bank guarantee or bank statement upon signing the grant agreement.

The project consortium is encouraged to contribute more than the minimum requirement of matching funding. The funds allocated to the Project Coordinator on behalf of the Project Consortium will be paid in Euro or the equivalent local currency depending on the Project Coordinators account information. Financial reporting should however always be in both the expended currency and in Euros.

The provision of in-kind goods or services during project implementation should be costed. Both the cash and in-kind contribution amounts should be auditable. In-kind contributions should amount to at least 10% of the total eligible costs that occur during project implementation. In-kind contributions of consortium participants should be monitored during the course of project implementation and should be included in all financial reports. In-kind costs provided by the Consortium Partners may include the following:

1. Use of specialised equipment/ facilities owned by the applicants.
2. Office and test-bed space used to include utilities.
3. Overhead and administration costs for administering the grant.
4. Salaries of the permanent personnel directly involved in the project (minus benefits), calculated in line with the amount of time spent on the project only, including technical, research and administrative support.
5. International and local travel, insurance, accommodation, per diems and subsistence allowance for project personnel.

There is no upper limit for co-financing and a higher share than 20% from the Project Members is encouraged as it demonstrates commitment, ownership and risk sharing.

A signed commitment letter specifying the committed co-financing by all co-financiers is requested at the Full Proposal stage.

3 APPLICATION PROCESS

3.1 Two-Stage Application Process

The SAIS 2 proposal process is a two-stage process: Interested applicants first submit a Concept Note for evaluation and in a second step – on invitation by SAIS 2 – submit a Full Proposal for evaluation.

Pre-registration (PR)

Pre-registration is the first step in the application process on the SmartME system and once complete, applicants can proceed on to preparing and submitting a Concept Note. The information provided in the Pre-registration form is not binding and will be for information purposes only. Pre-registration is open until the Concept Note deadline.

Stage 1: Submission of the Concept Note (CN)

The proposal in the Concept Note stage is intended to be brief, focusing on the fulfillment of the eligibility criteria of the applicant and introducing the key aspects of the activity proposed to be supported, i.e. business concept viability, development impact, innovativeness and soundness of project management.

Stage 2: Submission of the Full Proposal (FP)

SAIS 2 then invites the applicants with the highest scoring Concept Notes to submit a detailed Full Proposal, including a detailed project budget and a project-specific results framework for final evaluation.

After the final evaluation, selection of shortlisted projects and a due diligence process, the SAIS 2 Supervisory Board (SvB) approves the final list of projects, and grant agreement negotiations commence between the consortium Project Coordinator,SAIS 2 Project Management Office (SAIS 2 PMO) and NCRST.

3.1.1 Description of the Application Process

Stage 1: Concept Note

Interested applicants are encouraged to submit their Concept Note electronically through the SmartME online system (link provided on the SAIS 2 website www.saisprogramme.org) once the Call for Proposals has been published by the SAIS 2 PMO. The Concept Note should be submitted by the organisation designated as Recipient and Project Coordinator by the Project Consortium. After the Call for Proposals for Concept Notes has been closed, the SAIS 2 PMO will inform all Project Coordinators whether their Proposal was received within the deadline; a reference number will also be provided to enable follow-up during the evaluation process.

The SAIS 2 PMO pre-screens the Concept Note to check completeness and compliance with Finnish development policy. After this pre-screening, the National Focal Points in the SAIS 2 partner country[7] of the Project Coordinator will check the Concept Notes' compliance with the national development goals and eligibility criteria as outlined in section 4.1.1 of this Manual.

The Concept Notes are then evaluated based on the Selection Criteria (See Annex 2) by a panel of independent evaluators. The evaluators act in their personal capacity as experts in innovation and enterprise development, including early-stage financing, business development, inclusive innovation and issues related to innovation ecosystems.

Once the independent panel of experts has evaluated all Concept Notes, the SAIS 2 PMO draws up a list with the proposed projects ranked according to the total scores achieved in the evaluation. Due consideration is given to gender during the evaluation. Only the Concept Notes in each Window scoring more than 50% of the total available points are shortlisted. If there are less than 10 Concept Notes scoring 50% or above, not less than the eight (8) top scoring ones in each window are shortlisted and invited to submit Full Proposals.

The list of shortlisted Concept Notes is compiled by the SAIS 2 PMO and submitted to the SAIS 2 SB for assessment. The SvB makes their decision based on the selection of shortlisted Concept Notes. The selected Project Coordinators are then invited to prepare and submit a final project Proposal (Full Proposal) on behalf of the Project Consortia.

After the SvB decision has been finalised, the SAIS 2 PMO provides all Project Coordinators with the overall results of the evaluation.

Stage 2: Full Proposal

After the SAIS 2 SvB has made the decision on the selection of shortlisted Concept Notes, the SAIS 2 PMO will send an invitation to submit a Full Proposal by e-mail only to the selected Project Coordinators. This invitation formally invites the Project Coordinator to prepare and to submit a Full Proposal to the SAIS 2 Innovation Fund on behalf of the Project Consortium.

Upon closure of the submission period for Full Proposals, the SAIS 2 PMO pre-screens the Proposals to check completeness and basic eligibility in accordance with section 4.1.1 of this manual. Thereafter, the proposals go to the National Focal Points in every SAIS 2 partner country[8], where the Full Proposals' compliance with the national development goals are checked.

Next, a different group of independent evaluators assesses the Full Proposals against criteria such as; the business case, expected development impact, quality and efficiency. The independent evaluators selected could be from the group that evaluated the Concept Notes but no evaluator is assigned a Full Proposal for which they evaluated the Concept Note. The delivery plan, including division of work within the consortium, is also scrutinised.

Once all Full Proposals have been evaluated, the SAIS 2 PMO compiles a shortlist of the proposed projects to receive financing. Ranking is based on the total scores achieved by each Full Proposal in the independent evaluation. Firstly, only the Full Proposals in each Window scoring more than 50% of the total available points are shortlisted. If there are less than 10 Full Proposals with a score of 50% or above, the ten (10) top scoring

7 Botswana, Namibia, South Africa, Tanzania and Zambia
8 Botswana, Namibia, South Africa, Tanzania and Zambia

ones in each window are shortlisted regardless. Secondly, the combined amount of funding requested by all shortlisted Full Proposals in each Window is calculated and compared against the available budget reserved for each Call Window. This comparison as per budget reserved establishes the cut-off line for which and how many projects with Full Proposals can be funded in the respective Windows.

The final shortlist prepared by the SAIS 2 PMO presents the scores of the Full Proposals per Window and establishes a ranking order amongst them based on the scores achieved in the evaluation. This ranking order informs the SAIS 2 SvB which projects can be considered for funding based on the available budget allocated to the call. A reserve list of projects with Full Proposals that did not make the cut-off line serves as backup in case some of the selected applicants withdraw; they are then replaced with the next best candidate.

After the decision by the SvB, the SAIS 2 PMO sends feedback to all Project Coordinators, indicating whether their Full Proposal was approved for funding or rejected. The feedback includes an anonymous description of the evaluation made by the independent experts with suggestion to improve the Proposal for the next Call for Proposals of the SAIS 2 Innovation Fund. Following the SAIS 2 SvB selection of the projects approved for SAIS 2 funding, the Project Coordinators in question receive an invitation to negotiate the Grant Agreement with the SAIS 2 PMO.

3.1.3 General Rules

1. Concept Notes and Full Proposals received after the submission deadline will be rejected, also in the case of technical problems with the SmartME online system. Applicants are advised to submit their Concept Notes well in advance as the SmartME online system may be busy in the last days before the call deadline.

2. The Concept Notes and Full Proposals shall be submitted in the English language.

3. All financial information included in the Concept Note shall be in Euros (EUR).

4. SAIS 2 reserves the right to request additional information at any stage of the Application process.

5. SAIS 2's grant decision is not binding until the Grant Agreement with Annexes has been signed following successful negotiations. SAIS 2 reserves the right to reject any Concept Note or Full Proposal up to the signing of the grant agreement. All SAIS 2 Project Members shall adhere to the NCRST Policy on Anticorruption and Integrity. Consequently, any Project Member who has engaged or engages in any Prohibited Practice (as defined in the aforesaid policy) or in other willful misconduct is considered ineligible.

3.2 Indicative Timeline for SAIS 2 Call for Proposals 2018/2 Application Process

Process Phase	Timeline	Responsible Party
Pre-registration	20 November 2018 - 24 January 2019	Project Coordinator (on behalf of the Project Consortium)
Concept Note Period	29 November 2018 - 24 January 2019	Project Coordinator (on behalf of Project Consortium)
Evaluation of Concept Notes	January-February 2019	SAIS 2 PMO, Focal Points, independent evaluators
Concept Note Shortlist approved & Invitation to submit Full Proposal	February-March 2019	SAIS 2 SvB
Full Proposal submission period	March-April 2019	SAIS2 Project Coordinator (on behalf of Project Consortium)
Evaluation of Full Proposals – Preparation of shortlist and reserve list for SAIS 2 Innovation Fund projects	April 2019	SAIS 2 PMO, Focal Points, independent experts
Approval of shortlist for SAIS 2 Innovation Fund projects	April-May 2019	SAIS 2 SvB
Grant Agreement Negotiations	May 2019	SAIS 2 PMO
Contracting	May 2019	NCRST, SAIS 2 PMO

The selection process following the evaluation of Full Proposals (which includes consultations of the SAIS 2 partner country representatives and the MFA of Finland) is scheduled to be completed in April/May 2019. The formal selection decision following the closing of negotiations that informs all Project Consortiums of the results is sent to the Project Coordinators by May 2019. The format is a SAIS 2 Evaluation Summary Report (ESR), which is included in the communication. This communication does not in any way imply or prejudge a decision on funding; it is for feedback only. Grant agreement negotiations for successful Proposals begin in May 2019 with grant agreements being signed by the end of May 2019.

NB: Proposals at either Concept Note or Full Proposals stage are not accepted on paper. Nor it is possible to submit a proposal at Full Proposal stage only.

3.3 Submission Tool – SmartME

The electronic tool SmartME for the preparation and submission of proposals for both Concept Notes and Full Proposals is available via the SAIS 2 website (www.saisprogramme.org). The SmartME system is an online system used to manage the SAIS 2 Innovation Fund. An overview of the system is provided during the information sessions held by the SAIS 2 PMO once the call has been advertised. The use of this tool holds a number of benefits for applicants during the preparation and submission process.

The SmartME tool automates many aspects of the application process and thus provides easy access to all the relevant information pertaining to the proposal.

Since the proposal must be drafted in the format described in this guide, SmartME can help the Project Consortium optimise efficiency when preparing to submit the proposal; it allows Project Consortia to cut administrative duties by half and focus on the implementation of the projects.

Applicants are able to log onto the system once the call has been advertised and apply directly online. An applicant can draft, complete and submit a proposal during each stage of the proposal process without having to store any documentation or lose any unsaved work. All additional documentation can be uploaded into the system and remains available to the applicant as long as needed. The SmartME system covers the following in the Call for Proposals process:

1. Pre-registration – applicants pre-register to submit the Concept Note online. After submitting the Pre-registration form, the applicants are able to proceed to drafting their Concept Note.

2. Concept Note – applicants are able to draft and submit their entire concept note online, and attach all necessary documentation to their proposal. Only the Project Coordinator can submit the proposal. However, the Project Coordinator can grant access to Project Members to work on the Proposal but they will not be able to submit it.

3. Internal screening – the SAIS 2 PMO with support of the Focal points conducts all screening of Concept Notes. The Project Coordinator receives a response via the system to their email as to whether the first submission was successful.

4. Full Proposal submission – applicants are able to draft and submit their entire Full Proposal online, and attach all necessary documentation to their Proposal. Only the Project Coordinator can submit the proposal.

5. External evaluation – the independent evaluators conducting the external evaluation use the SmartME system. The Project Coordinator receives a response via email as to whether the proposal at either stage was successful.

6. Reporting – all reporting at the stage of proposal as well as project implementation takes place on the online platform provided by SmartME. The system is able to generate graphics and other visuals to draw up both project progress and financial reports.

7. Monitoring and evaluation – successful projects can set up a monitoring plan and create timelines and indicators to measure the success of their project.

8. Knowledge management platform – the system also allows for modern collaboration tools, which ensure that all project information is found in one place and is available to the SAIS 2 PMO and the extended team, including e.g. SvB and Focal Points.

3.3.1 System Registration

To register on the SmartME system, follow these steps:

1. Follow the link to register for the SAIS 2 Call for Proposals as per the advertisement and the SAIS 2 website.

2. Register for the SAIS 2 Call for Proposals by providing your first and last name, email address and your chosen password.

3. Sign into the system and begin with your proposal.

4. Applicants can log out of the system at any time and return to the same access point later.

3.3.2 Support, Helpdesk and User Guides

The SmartME system has a fully operational helpdesk support function. This function is located on the applicant's page once logged into the system. The helpdesk responds to a query within 48 hours.

Questions for clarification can also be sent to info@saisprogramme.org. To ensure transparency, the SAIS 2 PMO will answer all the questions which may be of interest to all applicants by uploading Frequently Asked Questions (FAQs) and the answers on the SAIS 2 website in the FAQ section https://www.saisprogramme.org/fund#faq. The applicant should notify the SAIS 2 PMO if questions and answers submitted are not to be published on the website. The SAIS 2 PMO will consider the request case by case. The SAIS 2 PMO will not answer any telephonic enquiries.

3.3.3 Privacy of Applicant Data

All data entered into the SmartME system is secure. All operations and practices regarding the collection, storage and processing of personal information are in accordance with the EU Data Protection Directive 95/46/EC and the Finnish law 22.4.1999/523 implementing the Directive.

4 PROPOSAL EVALUATION & APPROVAL PROCESS

This section explains the evaluation and selection criteria for project funding at the stages of Concept Note

The SAIS 2 PMO and Focal Points analyse the eligibility of proposals to ensure that applicants conform to the technical requirements of the call and consider the alignment with national, regional and/or local policy priorities.

4.1 Concept Note

4.1.1 Eligibility Criteria

The eligibility criteria verified by the SAIS 2 PMO include the following:

1. Timely submission of the Proposal (electronic). Deadline for submissions is the time and date at the electronic location as specified in the call; it is non-negotiable and will be strictly enforced. Project Proposals that do not meet the deadline specified in the call shall not be considered.

2. Proposal completeness. The Proposal must be signed and include all the information required in the SAIS 2 Guide for Applicants 2018/2/CN (Concept Note) in the format indicated therein.

3. Geographic scope. SAIS 2 supports regional projects i.e. projects implemented in more than one SADC country and in a minimum of one the SAIS 2 partner country, i.e. in Botswana, Namibia, South Africa, Tanzania and Zambia.

The eligibility criteria verified by the Focal Points in each SAIS 2 member country includes the following:

Applicants have provided a declaration that they:

1. Are not in a situation such as bankruptcy or liquidation.

2. Do not have their legal or business affairs administered by the courts or are the subject of proceedings concerning such matters, or are in any analogous situation arising from any procedure provided for in national legislation or regulations.

3. Have not been the subject of a judgment which has the force of res judicata for fraud, corruption, involvement in a criminal organisation or any other illegal activity detrimental to the SADC financial interests, following another procurement procedure or grant award procedure financed by the MFA budget.

4. Have not been declared in serious breach of a grant agreement for failure to comply with contractual obligations.

NB: It is a requirement that the Project Coordinator submitting the Concept Note completes and signs Concept Note Annexes , i.e. Annex 1 Confirmation of Compliance, Annex 2 Legal Entity Form, and Annex 3 Application Process Feedback Survey available in SmartME.

4.1.2 Screening Criteria

The Projects approved for SAIS 2 Innovation Fund support shall promote better understanding of innovation ecosystems at sub-national level, early-stage entrepreneurship and/or inclusive innovation. The relevance of the project to the beneficiaries/clients should be clearly explained in the Concept Note.

Projects should also have a positive development impact, with a focus on:

- Stimulation of regional collaboration between the innovation actors and organisations.
- Poverty reduction through the creation of better employability and income-generating opportunities in the eligible SAIS 2 partner countries.
- Justification for why SAIS 2 grant funding is needed.
- Promotion of inclusive delivery of products/services/processes to excluded populations in the SAIS 2 partner countries.
- Alignment with Finland's development policy priorities as expressed in the relevant documents[9].

4.1.3 Alignment with national or regional Policy Frameworks

It is important that the projects are in line with sub-national (e.g. provincial or municipal) and national development plans, strategies and policies addressing innovation and entrepreneurship in the country of implementation. The projects have to obtain all relevant permits, certificates, licences, endorsements, approvals and similar documents needed for the implementation of the project within a reasonable timeframe where/if needed. Moreover, as SAIS 2 aims to provide catalytic funding for the organisations driving the projects, project proposals are expected to address the established gaps and needs in the respective ecosystems. SAIS 2 considers the support and resources already provided by other organisations such as governments, business or other donors as positive assets to projects.

4.1.4 Concept Note structure

The Concept Note application form is filled in the SmartME online system and consists of the following parts: Project Summary, Project Partners (Project Coordinator and Other Partners), Project Financing, Project Overview (Project Information, Project Concept Viability, Sustainability, Development Impact and Innovativeness) and Document Submission. The Concept Note application form is presented in the Annex 1.

In the Document Submission, the Project Coordinator is expected to attach the following documents: organisation registration certificate, Project Coordinator's proof of identity (copy of passport) and Consortium Agreements.

9 See: Finland's Development Policy: One world, common future – towards sustainable development. Available at: www.formin.fi

In addition, the Project Coordinator shall fill in the following annexes in the SmartME system: Annex 1 Confirmation of Compliance Form, Annex 2 Legal Entity Form, and Annex 3 Application Process Feedback Survey.

4.2 Full Proposal

In broad terms, the Full Proposals expand on the content, scope and activities expressed in the Concept Notes during the first phase of the SAIS 2 Call for Proposals.

In the Concept Note, the applicants had ample space to provide details on the excellence of the proposed activity, e.g. by filling the gap identified in the market through the uniqueness of the proposed solution. The Full Proposal looks in more detail at the expected impact on both innovation ecosystems and beneficiaries. This phase explores the quality of the work plan proposed and how the project has set the means and activities to achieve the objectives. The Full Proposals are evaluated by a group of independent evaluators, who are not the same individuals as for the Concept Notes.

The SAIS 2 PMO will publish the Guide for Applicants 2018/2/FP (Full Proposal) during the course of Q1 of 2019 after the selection of Concept Notes that are invited to submit Full Proposal.

02

2018 SAIS 2 GUIDE FOR PROJECT IMPLEMENTATION

1 THE SAIS 2 PROJECT AND ITS IMPLEMENTATION

All SAIS 2 supported projects should contribute both to the success of an entrepreneur or business and to strengthening innovation support organisations' capacities to provide the best possible support for the take up of new or improved products, services or processes in the SADC region. Both intra-governmental and public/private partnerships are needed to make private or public innovation support services more accessible to entrepreneurs and other innovation actors, so as to create a knowledge-based portfolio of best practices in innovation management available across the SADC region.

1.1 Role of the Project Coordinator and other Participants in the SAIS 2 Project Consortium

The participants of the Project Consortium play different roles in the implementation of a project supported by a grant of the SAIS 2 Innovation Fund.

1.1.1 Project Coordinator

It is only the representative of the Project Coordinator that signs the grant agreement with with the contracting authority that is NCRST (co-signed by SAIS 2 PMO). The Project Coordinator must have the necessary financial and personnel resources to participate in and lead the proposed project. The Project Coordinator must also provide matching funding (in cash or in kind dependent on the Call Window requirements) for a SAIS 2 grant.

By submitting a proposal (Concept Note) the Project Coordinator declares willingness to act on behalf of the Project Consortium, whose members are all aware of the Proposal, agree with its content and submission and have the necessary internal authorisations to participate. The Project Coordinator must be in possession of documents that demonstrate the legal existence, financial status and willingness to collaborate in the proposed project as agreed in the Proposal (Consortium Agreement) of all participants. In the case of non- compliance with these conditions, the SAIS 2 PMO reserves the right to eliminate the Proposal from the evaluation/negotiation process at any time.

The Project Coordinator is the leader of the Project Consortium and bears the overall and sole responsibility for the implementation of the project as well as for administering its financial resources under the SAIS 2 Grant Agreement. The Project Coordinator receives the financial contribution and is the sole signatory to the grant agreement. The Project Coordinator is also responsible for distribution of the funds to the other Project Members, i.e. the Project Members of the Project Consortium once received from NCRST.

The Project Coordinator's responsibility towards NCRST/ SAIS 2 PMO and Project Members as per the SAIS 2 Grant Agreement covers, among others, the following:

1. Acting as the main liaison point for the project consortium and ensuring that all relevant information is promptly provided to the SAIS 2 PMO.

2. Reporting on the project progress to the SAIS 2 PMO according to the Project Implementation Guidelines.

3. Noting and submission of an updated Work Plan and Budget to the SAIS 2 PMO if there are changes in implementation; ensuring that they are realistic and proposing to amend the Grant Agreement.

4. Submission of financial disbursement requests on behalf of the project consortium.

5. Receiving funds from SAIS 2/NCRST and disbursing them according to the approved project plan to the project members of the project consortium.

6. Collection of progress (milestone) and financial reports from project members and compiling them into one final project & financial report to be submitted to the SAIS 2 PMO.

7. Provision of adequate project oversight and management to ensure that project members are familiar with the SAIS 2 Innovation Fund Manual and procedures to be followed for project implementation.

8. Responsibility for project monitoring and ensuring that the project is delivered on time, within the budget and as per agreed deliverables in the proposal.

9. Keeping proper archive records of all project matters, such as procurement, registering of assets and financial documentation, including original receipts.

10. Keeping proper archive records of all project matters, such as procurement, registering of assets and financial documentation, including original receipts.

11. The Project Coordinator will nominate an individual (Project Manager) to be responsible for the roles and responsibilities of the Project Coordinator.

1.1.2 Project Members

The Project Member(s) contribute to the project technically and financially, but do not sign the Grant Agreement with the NCRST. They must sign a consortium agreement as defined by the SAIS 2 PMO and agreed to directly with the Project Coordinator. Each Project Coordinator must ensure that its Project Members shall comply with the grant agreement as if they were Project Coordinators themselves. The Project Members have equal rights to the ownership and exploitation of the results of the projects as per agreement made with the Project Coordinator.

1.1.3. Sub-Contractors

Subcontractors function as service providers to the Project Consortium in tasks that are not otherwise available or require specific expertise outside of the Project Coordinator or Project Members. It will be the Project Coordinator who fully funds their activity through an open procurement process. The SAIS 2 Programme, in accordance with the rules of the Grant Agreement in force, may then reimburse this funding as long as the overall value is less than 5% of the overall amount of the SAIS 2 Innovation Grant. Subcontractors are not expected to financially invest in the project; they do therefore not benefit from any intellectual property rights arising from it. The Consortium is not allowed to engage a sub-contractor for a key competence or other project coordination tasks.

1.1.4 Project Support Partners

Project support partners are entities that are engaged with the project and support project activities in kind or financial means. Support Partners can be – for example – other investors or potential clients of the innovation. Support Partners do not however receive any financial or technical support from SAIS 2 Innovation Fund.

1.2 Project Reporting

Projects report their progress to the SAIS 2 PMO according to the Milestone and Disbursement Schedule (MDS). The Project Coordinator is expected to submit a Work Plan as part of proposal for funding. The Work Plan is used to guide both the project execution and to control the resources and activities used for the implementation. The Work Plan explains how and when a project's objectives are to be achieved. It also shows the major deliverables, activities and resources required and efforts allocated on the project per Project Coordinator and Project Members. The Work Plan explains who in the Project Consortium is responsible for which activity and deliverable. The project plan is agreed to and approved by the Project Consortium. The Project Coordinator monitors the implementation, performance and achievement of deliverables accorded to each Project Member.

The following reports must be submitted by the Project Coordinator to the SAIS 2 PMO in accordance with the agreed time line:

1. Milestone Reports (Progress Reports)
2. Financial Administration Report
3. Project Completion Reports

Reporting on project progress is based on milestones, i.e. linked to the completion of a specific milestone. A milestone is completed when the agreed milestone deliverables have been implemented and are ready to be reported. Deliverables for each milestone should be defined during project design. Reporting templates are available from SAIS 2 PMO and via the SmartME system

1.2.1 Milestone Report

A narrative progress report shall be submitted to the SAIS 2 PMO at the end of each milestone together with the financial report. The Milestone Report shall include:

- a cumulative summary of the progress so far;
- a description of the progress made towards achieving the agreed milestone deliverables; outputs and activities achieved shall be compared against those originally set out for the milestone, and an assessment shall be made whether the implemented activities have contributed towards the planned outcomes and outputs;
- a list of milestone deliverables planned but not implemented with an explanation of why they were not implemented and when and if they will be implemented; information on any budgetary implications shall also be provided;
- an overview of risks that may negatively affect the successful and timely implementation of the project;
- lessons learnt;
- All documented and tangible deliverables (e.g. studies, concept notes, etc.) shall be annexed to the Milestone Report.

1.2.2 Project Completion Report

A Project Completion Report shall be provided together with the reporting for the last milestone. The Project Completion Report:

- describes the achieved results compared to the planned results and targets;
- provides information on how the project has contributed to the SAIS 2 key development indicators as agreed to with the SAIS 2 PMO during the Grant Agreement negotiations;
- assesses effectiveness, efficiency, relevance, impact and sustainability;
- includes an extensive section on lessons learnt;
- describes the next steps, i.e. how the Project Consortium intends to take the concept or prototype to the next stage of project development; if the final assessment of the project is that the concept is not sustainable for further development, an elaborate report on lessons learnt shall be provided with an explanation as to why the business concept will not be developed further; and,
- includes a Project Case Study sheet that summarises the project results. The intention of the case study is to disseminate results to attract possible investors and financiers for scaling-up or replication. In addition, it can be used to distribute project results to a wider audience or the media – in print or through the websites of the Project Members or SAIS 2. The costs of developing the case study shall be included in the overall project budget.

Together with the preparation of the case study, the Project should be prepared to share its experiences/ results at an annual SAIS 2 event. It is up to the Project to decide whether the results shall be shared after a completed milestone or when the Project Completion Report is submitted. The costs of participating in an annual SAIS 2 event shall be included in the overall project budget.

When the implementing partners (Project Members) send reports to the SAIS 2 PMO, it is important that they include all required documentation. The Project Coordinator responsible for reporting should ensure that the report is as detailed and clear as possible and that a third person can verify the calculations and reconcile the figures in the Financial Report with the related vouchers and invoices without any difficulties.

The invoices submitted to the SAIS 2 PMO for payment must include supporting documents, including a list of vouchers, invoices and records of all financial transactions related to the project. It is vital that the financial report for the project can be verified by the financial records and supporting documents of all transactions undertaken on the project with a direct link to the income source, either from the Grant or Project Coordinator or Project Member for cash and in-kind contributions.

The official currency of SAIS 2 is the Euro. All transactions must be converted to and reported in Euros, based on the spot rate of the date the money was received from the SAIS 2 PMO.

The final payment and last instalment of the grant, amounting to 10-25% of the grant funding provided by SAIS 2, will only be paid against the approval of the Project Completion Report and verification that the SAIS 2 PMO has received an audit report on the project from a certified auditor. An audit report has to be attached to the financial administration report. The Project should conduct yearly internal audits and one final external audit toward the end of the project. SAIS 2 PMO provides reporting templates.

Financial management issues are discussed in detail in the next section of this guideline.

1.2.3 Follow-up

The development impacts of SAIS 2 projects are in many cases not fully visible until after a few years of completion. In order to capture the full impact of the projects, SAIS 2 PMO may, after two years, conduct a survey through collection of information from the Project Coordinators and the Project Members. The survey focuses on SAIS 2 impact indicators as well as the continued development of the project concept.

1.3 Communication & Outreach

Sharing results and lessons learnt is an important feature of SAIS 2. Therefore, Project Members shall inform SAIS 2 about information material developed during the implementation of the project and articles, blogs or videos that mention or discuss the project.

Project Members can also contact the SAIS 2 PMO to explore the possibility of jointly developed articles or publications. SAIS 2 Innovation Fund recipients are required to present their progress/ results at least once at a SAIS 2 Annual Conference. The Projects are encouraged to arrange outreach activities/ events to disseminate results and lessons learnt.

The SAIS 2 logo shall be visible on all reports, information material (e.g. leaflets and brochures) and other documents developed by the project. The logo is available in different formats, which are optimised

for either print or digital uses. Projects should request the logo from SAIS 2 when needed. Based on the purpose of the use, the logo will be sent in the most suitable format.

1.4 Ethical Guidelines

It is strongly recommended that all projects look at the guidelines relevant to their organisations' policies on ethics to ensure that all Project Consortium partners comply with them. Should the guidelines not be available, the partners should immediately inform the SAIS 2 PMO in order to obtain standard guidelines.

Some of the issues to consider are:

- Ensuring that ethical considerations are included in mission statements and codes of conduct for work in areas that has significant ethical consequences or may affect the outcome of the project, product or market.
- Inclusion of a review of processes in projects and ensurance that ethical guidelines are followed if applicable; SAIS 2 pays particular attention to the inclusion of excluded groups of the population as beneficiaries and/or participants in the projects.
- Securing of the services of an ethics expert if expertise is not available in-house, should this be deemed applicable within the scope of the project.
- Ensuring that activities undertaken by the partners respect the rights, dignity, safety, privacy and health of human and animal participants.
- Ensuring that respect for people's privacy is at the centre of any data initiative.

2 FINANCIAL MANAGEMENT

2.1 Results-Based Funding & Disbursement Schedule

SAIS 2 applies results-based funding, which means that funding is provided to project implementers after delivery and verification of the project results. All final Project Proposals (Full Proposals) have to define the result chain, the results themselves and how the SAIS 2 funding is to be divided between these results, i.e. according to milestones/ outputs/ outcomes, as well as among the organisations participating in the Project Consortium. The Milestone and Disbursement Schedule is annexed to the Grant Agreement.

Projects have to indicate which of the results in their proposal trigger the periodic SAIS 2 financial incentives, i.e. partial grants. As an incentive is paid ex-post, after delivery and verification of the results, all agreed results shall be achieved before the date of project completion as described in the Grant Agreement. The payment request is prepared by the Project Coordinator, signed by the authorised person and sent to the SAIS 2 PMO office in hard copy. The financial request accompanying a Milestone Report must describe the planned activities in line with project deliverables, indicate the nature of expenses and the eventual receivers (Project Coordinator or Project Members) of the funding. All financial reports must include a list summarising costs, including copies of legally acceptable invoices and vouchers in relation to the invoiced

items. The Project Coordinator and Project Members should retain originals for audit purposes. Unless the Project Coordinator informs the SAIS 2 PMO otherwise, the assumption is that Projects have received their funds in a timely manner.

The first milestone can represent a maximum of 30% of the total grant. A minimum of 25% of the total grant is allocated at the end of the project, either as a last milestone or as results-based financing. The final part of the SAIS 2 grant is released after the project has been fully completed, i.e. after receipt of the Project Completion Report and verification of achievement of final results/milestone. The level of funding is capped by the total grant as stipulated in the agreement and cannot be increased, even if results have been exceeded.

SAIS 2 will not provide any advance payments linked for any of the project milestones.

2.1.1 First Payment

The documents to be submitted with the grant agreement for the first invoice (maximum 30%) include:

1. A bank guarantee or the project bank account statement with the 20% matching contribution from partners (see breakdown of expected matching contribution in cash and in-kind as per call Window).
2. Evidence of expected matching contribution in cash and in-kind as per call Window.
3. A pro-forma invoice, work plan and budget for the first milestone.
4. Timesheet summary.

2.1.2 Milestone Payment(s)

For the disbursement of subsequent milestone payment(s) the Project Coordinator submits the following documents:

1. A cumulative MIlestone Report for all milestones completed to date, a detailed description of the use of the grant backed by documents showing in-kind and cash contributions from the Consortium (Project Coordinator, Project Members); the Milestone report must include all documented/ tangible deliverables.
2. Financial Report including a detailed description of the use of the grant backed by documents showing in-kind and cash contributions from the Consortium (Project Coordinator, Project Members).
3. A work plan and budget for the subsequent milestones.
4. On approval of the reports, an Invoice for the milestone.
5. Timesheet summary.

NOTE: SAIS 2 PMO will conduct a Milestone Review on-site to familiarize themselves to the progress and achievement of each project. The Milestone Payment is released after successful completion of the Milestone Review.

2.1.3 Final Payment

The final request for a minimum of 25% of the grant should be accompanied by:

1. An invoice for the milestone.
2. The Project Completion Report with a narrative covering the complete project duration and results achieved.
3. A financial report including detailed descriptions of the use of the grant as well as the use of in-kind and cash contributions from partners.
4. An audit report with a letter from the auditor with an assessment of the use of the funds as per Grant Agreement and Full Proposal.
5. Timesheet summary.

The funds allocated to the Project Team is expressed in EURO and paid by the NCRST. For each disbursement, the Project Coordinator has to present an invoice covering all costs addressed to the NCRST.

The Projects conduct a quarterly results-based monitoring and reporting of project implementation. In addition, the online M&E system (SmartME) shall be used to provide a platform for frequent and regular communication between Project Consortium and the SAIS 2 PMO, including feedback and guidance on project implementation when/if required.

2.1.4 Project Funding disbursed to Partners (Project Members, Sub-Contractors)

SAIS 2/NCRST make payments only to the Project Coordinator, who is also the only signatory in the Grant Agreement. It is the responsibility of the Project Coordinator to provide funding from the grant to the other organisations in the Project Consortium. The Project Coordinator should obtain the necessary National Treasury/Reserve Bank approvals for cross-border transfers of funds and material. The Project Coordinator should also account for all the funds, materials and goods transferred to the Project Members and report on them together with their own expenditure. All participants of the Project Consortium should adhere to and follow the financial guidelines and procurement guidelines of NCRST.

2.2 Amending the Budget

The project budget may need to be modified during the implementation. The maximum percentage allowed for reallocation between budget categories and between Project Members is 15%. Requests need to be motivated and will be subject to the approval of the SAIS 2 PMO.

2.2.1 Reallocation of Funds between Budget Items

Funds can be reallocated between budget lines within the same budget category with proper justification. The outcomes and outputs should not change from the description as agreed in the Grant agreement. Reallocation requires prior approval from the SAIS 2 PMO. All reallocations beyond 100 EUR need to be justified in the progress reports.

2.2.2 Reallocation of Funds between Budget Milestones

Project funds can be reallocated between milestones. The reallocation has to take place within the same budget category. Likewise the deliverables allocated for the milestone have to remain as agreed in the Grant agreement. Changes in deliverables per milestone has to be pre-approved by the SAIS 2 PMO. All reallocations beyond EUR 10,000 has to be justified in the progress reports. The SAIS 2 PMO can require and amend the Grant Agreement as per reallocation request.

2.2.3 Use of Contingencies

SAIS 2 encourages Projects to allocate 5-10% of the project budget to contingencies. Contingencies are used to cover unforeseen activities and costs that occur during implementation. All activities covered by contingencies should contribute to the attainment of project outcomes and outputs. The SAIS 2 PMO shall be informed in advance when contingencies are to be used to cover expenditures above EUR 10,000. All use of contingencies shall be explained in both the progress and financial reports.

2.3 Eligible and Ineligible Costs

The SAIS 2 grant should be used only for expenses that are accrued by the participants of the Project (Project Coordinator, Project Members, Sub-contractors) during the implementation period of the project. NCRST acting as Grant Manager of the SAIS 2 programme transfers the grant to the Project Coordinator, who bears sole responsibility for the transfer of appropriate compensations to other Project Members (Project Members, Sub-contractors). The Project Members may not transfer the grant or any part of it to a third party; unless the third party is a Project Member in the execution of the project and indicated in the original proposal.

All reimbursable costs are subject to discretion and evaluation by SAIS 2 on the eligibility of the Project Coordinator in relation to the project implementation plan. The eligibility of reimbursable costs is subject to the presentation of a request to payment and submission of a financial report, which indicates the use of the funds for the stated period and copies of receipts on the purchase made. All partners should submit audited financial reports.

Together with the Project Coordinator, SAIS 2 PMO and NCRST shall monitor the quality of the reports and effective use of funds. The Project Coordinator should have a separate budget line in their accounting system, which makes it easier to monitor this specific project's finances within the organisation. The Projects are not required to send the original receipts of the costs to SAIS 2. The Project Coordinator is obliged to have a formal accounting system and to keep a file of the original documents of the project

– including Project Members and Sub-contractors – for at least five years, counting from the end of the project. This allows for access to these documents when requested by the donors or SAIS 2 PMO / NCRST.

2.3.1 Eligible Costs:

The eligible costs are the following:

1. Personnel costs, i.e. the actual costs of the time invested by individuals participating in the execution of project, related to tasks either under the work of Project Coordinator or Project Members, including researchers, technical experts, project implementers and technical and administration staff; actual internal actual costs should be allocated, not external billable rates for external service provision.

2. Audit fees for the project.

3. Office premises, telecommunication resources, Internet.

4. Small-scale infrastructure and equipment acquisition (should not exceed 5% of the total amount of the SAIS 2 Innovation Fund Grant).

5. Technical assistance, i.e. short-term expertise sourced as sub-contracting from contracting parties outside the immediate project team; fees should be within the threshold recommended for the specific skills set and experience as outlined in the SAIS 2 Project Implementation Manual.

6. Travelling and accommodation, i.e. travel related to the implementation of the project as well as the execution of the project deliverables; this should be planned effectively and well within reason of the budget; travel cost compensation should be in line with NCRST rules and regulations.

7. Per-diems should be justified according to the NCRST Travel Regulations . Further clarification can be obtained from the SAIS 2 PMO.

2.3.2. Mandatory Travel costs to be included in the Project Budget and financed through the SAIS 2 Innovation Fund Grant

Capacity Building organised by SAIS 2

SAIS 2 aims to strengthen the capacity of new businesses in the five SAIS 2 economies through investing in innovation support organisations' ability to support their ecosystem and clients (entrepreneurs). Thus, the SAIS 2 Innovation Fund grants are complemented with capacity building programs (PSP – Proactive Support Programme) offered to participants of the Project consortiums. The costs of participation by the Project members to the PSPs should be included in the Project Budget as follows:

Window 1 Recipient(s):

at least one Project Member – one regional travel to the Capacity Building

Window 2 Recipient(s):
ALL Project Members, i.e. supported enterprises – one regional travel to the Capacity Building

Window 3 Recipient(s):
at least one Project Member – one regional travel to the Capacity Building

SAIS 2 Annual Event

The Project Coordinator is expected to finance travel costs to one SAIS 2 Annual Event from the SAIS 2 Innovation Fund Grant as follows:

Window 1 Recipient(s)
Project Coordinator – one regional travel to the SAIS 2 Annual Event

Window 2 Recipient(s)
Project Coordinator – one regional travel to the SAIS 2 Annual Event

Window 3 Recipient(s)
Project Coordinator – one regional travel to the SAIS 2 Annual Event

Each project should also consider to budget the travel costs of Project Members to participate in the SAIS 2 Annual Event from the SAIS 2 Innovation Fund Grant.

SAIS 2-Project Milestone Review

Each project should budget for the travel costs of SAIS 2 PMO representative in the Project Milestone Review through the SAIS 2 Innovation Fund grant as follows:

Window 1 Recipient(s)
SAIS 2 PMO – one regional travel to the Project Milestone Review

Window 2 Recipient(s)
SAIS 2 PMO – one regional travel to the Project Milestone Review

Window 3 Recipient(s)
SAIS 2 PMO – one regional travel to the Project Milestone Review

2.3.3 Non-eligible Costs

The following expenses from projects are not considered eligible for financing by the SAIS 2 Innovation Fund:

- Interest or debt owed to any third party.
- Overhead costs.

- Expenditure not based on the approved project plan or not agreed on with the financing authority in project negotiations.
- Expenditures and provisions for possible future losses or debts.
- Purchase of land or buildings, including any renovations to labs or offices.
- Merit pay, bonuses, fringe benefits and similar supplements to regular wages.
- General staff training not directly related to implementation of the approved project.
- Tuition fees for staff members for long-term tertiary training.
- Long-term accommodation expenses for project personnel as well as general travel and accommodation not directly related to the project activities.
- Purchase of vehicles and automated moving or construction equipment.
- Entertainment and hospitality expenses.
- Recruitment, relocation or subscription costs.
- Items already financed through another framework, programme or company/institution.
- Financing expenses – interest on loans, financial transaction fees, foreign currency exchange fees and losses incurred by exchange rate fluctuations.

NB: VAT expenditure has to be recovered in the Project Member's country and cannot be claimed from the SAIS 2 PMO or the NCRST.

2.4 Timesheets

All Project Members are required to keep a record of working hours of the personnel involved in the Project and corresponding workdays per month.

Timesheets should be submitted for each project milestone per person worked on that milestone. Project-related travel has to be indicated on the timesheets and supported by evidence, such as documentation of trainings attended, conference participant lists, project meetings, notes, etc.

While the timesheet format is optional, the SAIS 2 PMO can provide an example of an individual timesheet upon request. A timesheet summary for each partner organisation is to be annexed to each disbursement request. The summary shall include the following information:

1. Name and title of each staff member.
2. The number of days worked/months disaggregated for each staff member during the reporting period.
3. Total number of days worked during the reporting period.
4. Daily remuneration.

2.5 Procurement

It is important that the Project Consortium maintains open and transparent processes in securing goods and services for the completion of projects. The Project Consortium is required to make all procurement in accordance with the procurement guidelines as proposed in this section, and in line with the procurement rules of the implementing organisations. As a general rule, the lowest price forms the selection criterion in competitive tendering. A favourable price in terms of overall economy can also be applied. Dividing contracts into parts in order to keep the contract value below any threshold mentioned below is not allowed under any circumstances.

2.5.1 Procurement Requirements

The following requirements are relevant to procurement:

1. **Services** relate to either goods or services that have to be procured from outside the organisation.
2. **A consultancy** refers to specialised services that may be provided by an expert or specialist in a particular field.
3. **A tender** is defined as a written offer in prescribed or stipulated form, in response to an invitation for provision of services, works or goods through price quotations, advertised competitive tendering process or proposal.
4. **A Proposal** is a prescribed form of invitation used by the organisation to inform prospective suppliers (bidders) of the requirements needed for the provision of services, works or goods. This is mainly applicable to consultancy or specialist services or non-standardised goods or services that may be required. A Request for Proposal (RFP) includes drafting Terms of Reference (ToR) with a specific description of the type of good or service required, the period or timeline of the service, the minimum requirements for the firm and the team, the type of service/goods required and the proposal requirements & evaluation criteria. The RFP is advertised and the proposals/ tenderers are assessed firstly for technical quality and then on price.
5. **Price quotations** are regarded as tenders and must always be written for all purchase orders of more than EUR 500 (unless stricter guidelines apply). A Request for Price Quotations (RFQ) process is followed, where only pricing is required for standardised goods and/or services, which makes each supplier quote comparable. For all other competitive bids an RFP must be issued, which involves a technical and price comparison.

6. **A Purchase via existing supply contractor** applies when there is an existing supply contract for specific items with a Preferred or Approved Supplier and partners may purchase as required and stipulated in the contract. For any additional goods and /or services not covered by the supply contract, the process for general purchases for goods and/ or services must be followed.

7. **Contract negotiations and management** must be conducted in an open, fair and transparent manner. Where applicable, project teams must comply with the procurement rules of their organisations and their national regulations. If no such rules are in place or if the rules are less strict than what has been defined above, then the procurement guidelines as defined above count as default.

8. **Sole sourcing** is permissible when there is clear and objective evidence that only a single supplier can supply services and/or goods, the delegated authority may approve sole procurement from the identified supplier for the goods and/or services within a stipulated period.

9. **Objective evidence** may include a letter from the original manufacturer, indicating sole rights for distribution or proof that a competitive open bidding process resulted in only one response. A signed Sole Supplier form must be attached to the requisition.

2.5.2 Applicable Threshold for Procurement

1. Costs below Euro 500: Project Members decide on the procedure.

2. Costs between Euro 500 and Euro 20,000: Comparison of at least three quotes/offers obtained directly from suppliers, Minimum Request for Proposal (RFP)/ tendering process must be followed; no procurement above 30,000 Euro is allowed.

Price quotations are obtained for standardised goods and/ or services, which makes each supplier quote comparable. For other competitive bids, an RFP must be issued. A weighted matrix must be used to select a winning bid. An appropriate procurement points system is necessary for the selection of the supplier, and the supplier with the lowest bid shall be selected.

Records of the procurement process followed must be attached to the requisition. The request for bids, offers and other procurement documentation shall be archived and made available at the request of SAIS 2.

2.6 Financial Audits

Projects shall be audited once during their lifetime. The Project Coordinator is expected to submit an audited financial report within 3 months after the end of the project. The Project Team should bear the costs for these audits, which should be included in the project budget. All Project Members should retain the original receipts for auditing purposes. The Project Coordinator is fully accountable for the Project's accounts. The Project Coordinator shall keep project accounts in accordance with generally accepted accounting principles. Furthermore, the Project Coordinator shall provide or arrange for the representatives of the SAIS 2 PMO to have access to all relevant books of accounts relating to the use of the Grant. The SAIS 2 PMO has the right to access all financial documentation linked to the project.

The audits shall cover the accounts for the entire project duration and all budgetary components of the Project, including co-financing. Project accounts refer to accounts kept by the Project Coordinator and, where

relevant, the Project Members, in accordance with applicable accounting rules, showing costs and expenses incurred by the Project as well as all revenue of the Project, including the Grant received.

A certified audit firm should undertake the audit. The Project Coordinator shall inform the SAIS 2 PMO about the timing of the planned audit. Six weeks prior to initiating the audit, the Project Coordinator should request project-specific financial audit ToR form the SAIS 2 PMO. The SAIS 2 PMO reserves the right to revise the draft audit ToRs; the scope may thus differ, depending on the project. The audit may cover the Project Coordinator's project account only or include the other participants' project accounts. The Project Coordinator shall procure the auditor(s) based on the ToRs. In case the TOR specifies that the audit shall also cover the local and/or other partners, the auditors shall be locally relevant and speak the local language.

Subcontracting of the audit assignment is only allowed if approved beforehand by the SAIS 2 PMO. The Project Coordinator shall request the SAIS 2 PMO's approval of the selected auditor before the audit. If requested by the SAIS 2 PMO, the Project Coordinator should provide documentation on the selected auditor to confirm the authorisation and certification of the company. The Project Coordinator may use a certified audit firm it has a framework agreement with, subject to prior approval by the SAIS 2 PMO. Once the SAIS 2 PMO has approved the auditor, the Project Coordinator can proceed with contracting and conducting the audits. The SAIS 2 PMO reserves the right to organise additional audits, such as mid-term audits. These should take place within a pre-agreed milestone. The final audit should take place after all expenses related to project activities have been paid.

The audit results, inclusive of risks, findings and recommendations, should be forwarded to the SAIS 2 PMO. The Project Coordinator should note that the SAIS 2 PMO's approval of the audit report form part of the requirements for the final disbursements. In case of any concerns raised during an audit, the Project Coordinator and the SAIS 2 PMO will schedule a meeting to agree on a way forward. Solutions may entail the arrangement of additional audits or field visits by staff/representatives of the SAIS 2 PMO. Any amount, including interest, which has already been disbursed but has not been fully used by the end of the project, shall be paid back in full to the SAIS 2 Programme.

3 SAIS 2 MONITORING PRINCIPLES

The SAIS 2 PMO is responsible to monitor whether the project is on track with regard to the achievement of its expected outcomes and outputs within the agreed budget. The progress and financial reports of the SAIS 2 Innovation Fund Project Coordinator serve as a basis for the monitoring, evaluation & learning activities at Programme level.

The SAIS 2 Programme has defined indicators at programme level, at outcome and output level, with a baseline and defined targets over the duration of the programme from 2018-2021. Selected project indicators were derived from these (see examples below). The final set of project level indicators are to be agreed on in the Grant Agreement negotiations together with selected beneficiaries and based on the

Proposals accepted for SAIS 2 grants. The project indicators should be reported in the SAIS 2 Milestone Reports & Final Reports as part of the monitoring, evaluation and learning system provided by SAIS 2 PMO (SmartME).

For reference purposes, the Project Coordinator can request the Results Framework for the SAIS 2 Programme from the SAIS 2 PMO. For effective reporting, it is essential that there is a direct link between the project level indicators and the programme level indicators and results. Project Members are also encouraged to report to the Project Coordinator on any other indicators achieved other than the ones listed below.

3.1 SAIS 2 Operational Objectives (Outcome & Output level) and Key Indicators

The following operational objectives and related indicators[10] have been defined for SAIS 2 as a programme and at outcome level. The operational objectives are in line with the Strategic Objectives expressed as Result Areas, which in turn are derived from relevant policies of the SAIS 2 partner countries and SADC.

3.1.1 Result Area 1

Institutional Capacity for Regional Cooperation marks the improved capacity of innovation support organisations in terms of expertise and delivery to support private sector innovation and enterprise development.

Output 1.1. Improved staff and organisational capacity in the innovation support organisations; indicator: Number of short courses/acceleration training on innovation-related topics presented.

Output 1.2. Improved capacity of innovation support organisations to provide relevant and up-to-date training on innovation; indicator: Number of staff of partner institutions and support agencies participating at regional level in PSP 1 as mentors, coaches and ultimately deliverers

Output 1.3. Increased knowledge-sharing and cooperation between staff of innovation support organisations in the participating countries; indicator: Number of joint activities and capacity-building projects supported.

Output 1.4. SAIS 2 Innovation Fund capabilities developed to respond to the needs of enterprises and innovation support organisations; indicator: Number of innovation support organisations assisted through the SAIS 2 Innovation Fund (m/ f heading Innovation support organisation, represented in innovation support organisation).

Output 1.5. Dissemination and awareness-raising mechanisms developed for innovation support organisations that boost innovation development within the region; indicator: Number and type of publications and other dissemination products/processes developed and produced, including number of PMO engagements with stakeholders and support to innovation events.

Output 1.6. foresight analysis, studies and policy briefs prepared to support policy development in cities; indicator: number and type of Foresight Studies completed

10 One indicator per intermediate outcome is provided in the Manual. However, the full list of indicators is available from the SAIS website or on request from the PMO.

3.1.2 Result Area 2

Innovation in Enterprises refers to improved capacity of enterprises to innovate and to enter new markets.

Output 2.1. new and improved products, services or processes brought to the market through SAIS 2 sponsored innovation projects; indicator: number and type of new products, processes and services reported by the participating enterprises; disaggregated by countries and types of products/services

Output 2.2. new coaching and mentoring mechanisms for innovation support adopted; indicator: number of acceleration programmes delivered

Output 2.3. improved expertise on innovation management among innovation support organisations, entrepreneurs and potential entrepreneurs; indicator: Number of new innovation support models adopted by innovation support organisations.

3.1.3 Result Area 3

Inclusive innovation manifests in an improved enabling environment for the inclusive innovation activities in the region.

Output 3.1. expertise and understanding on inclusive innovation in innovation support organisations strengthened; indicator: number of support programmes deployed to assist with project ideation, development and implementation

Output 3.2. Innovation projects start to develop products and services for and with the vulnerable and excluded sections of the population. indicator: number and type of products/ services/ processes developed for vulnerable and excluded sections of the population by innovation projects

Output 3.3. specific training and coaching provided by innovation support organisations to potential inclusiveness project creators and entrepreneur; indicator: number of dedicated social/ inclusiveness support organisations that receive capacity support and implement programmes regionally

Cross cutting elements of Communication, Human Rights Based Approaches and Gender will be considered when implementing SAIS 2 Projects and will form part of the M&E conducted.

The SAIS 2 PMO and FP's will conduct at least one site visit to monitor the implementation of the Project and/or verify the outcomes and outputs. The Project Members shall provide access and make arrangements locally to enable the site visits. The Project Consortium is requested to provide for one SAIS 2 PMO visit in their overall project budget for this purpose. Any deviations from agreed outcomes or outputs have to be approved in advance by the SAIS 2 PMO.

The SAIS 2 PMO may conduct a post-evaluation of SAIS 2 Innovation Fund projects. These evaluations are fully financed by SAIS 2. Project Members are encouraged to make time and provide input to facilitate these evaluations.

03 ANNEX

Annex 1:

CONCEPT NOTE

Concept Note

This is the first stage in the application process to the SAIS 2 Call for Proposals. The Concept Note provides a brief description of the project and the objectives to be pursued as well as its projected impact on society. The answers in the Concept Note form are pre-filled based on the Pre-registration form. The Pre-registration answers can be edited until the submission of the Concept Note.

Please read the following documents carefully before applying:

Call for Proposals SAIS 2018/2/CN

1. Call for Proposals Text
   https://www.saisprogramme.org/innovation-fund
2. Innovation Fund Manual
   https://www.saisprogramme.org/innovation-fund
3. SAIS 2 Revised Programme Document Summary
   https://www.saisprogramme.org/innovation-fund

Project Summary

Project Title *

State the title of your project in a concise manner not exceeding 10 words.

Call Window *

- ○ Window 1 - Stronger Ecosystems
- ○ Window 2 - Scaling Enterprises
- ○ Window 3 - Inclusive Innovations

Countries of Implementation *

Project activities are to be implemented in a minimum of two SADC member states of which one has to be in a SAIS 2 partner country.

- ○ Botswana
- ○ Namibia
- ○ South Africa
- ○ Tanzania
- ○ Zambia
- ○ Angola
- ○ Democratic Republic of Congo Zimbabwe
- ○ Swaziland
- ○ Seychelles
- ○ Mozambique
- ○ Mauritius
- ○ Malawi
- ○ Madagascar
- ○ Lesotho

Implementation Period *

Months

A project can only run for a minimum duration of 12 months and a maximum duration of 24 months depending on the call window.

Sector Focus *

State what sector/sectors your project will focus on.

- Tourism
- Health
- Energy
- Education
- Government Services
- Agriculture
- Information and Communication Technologies
- Urban Development
- Other

If 'other' please specify:

Part 1 Project Partners

All project partners shall have a meaningful role in the implementation of the project. The application should clearly clarify the roles of and division of responsibilities between each project partner. The project may solicit additional forms of engagement with legal entities or individuals that provide either support (this can be advisory with no remuneration) or are sub-contractors (provide services that are not core to the project implementation).

1.1 Project Coordinator

1.1.1 Name of Organisation *

Registered name of the organisation

1.1.2 Country of Registration *

Please select

1.1.1 Name of Organisation *

- Private company
- Public organisation
- Non-governmental Organisation (NGO) Social Enterprise
- University/Research institute
- Other

1.1.4 Short Description of the Organisation *

Provide the Organisation profile in brief.

1.1.5 Project Manager *

Name and surname of individual responsible for project at Project Coordinator entity

1.1.6 Position/Job Title *

Position at Project Coordinator entity e.g. Founder, lecturer, CEO, manager, staff etc.

1.1.7 Email Address *

Email address of Project Manager

1.1.8 Street or Postal Address *

Address of Project Coordinator

1.1.9 Zip Code

1.1.10 City *

1.1.11 Country *

1.1.12 Website

1.1.13 Phone number

1.1.14 Gender of Project Manager

Please select

1.2 Other Partners

Click “Add Row” below and fill out the same information for every project partner including support and sub-contractors where known.

1.2.1 Name of Partner Organisation

Registered name of the organisation

1.2.2 Country of Registration

- Botswana
- Namibia
- South Africa
- Tanzania
- Zambia
- Angola
- Democratic Republic of Congo
- Zimbabwe
- Swaziland
- Seychelles
- Mozambique
- Mauritius
- Malawi
- Madagascar
- Lesotho
- Other

1.2.3 Type of Organisation

- Private company
- Public organisation
- Non-governmental Organisation (NGO)
- Social Enterprise
- University/Research Institute
- Other

1.2.4 Short Description of the Organisation

1.2.5 Contact Person Name

1.2.6 Position/Job Title

1.2.7 Email

1.2.8 Street Address/Postal Address

1.2.9 Zip Code

1.2.10 City *

1.2.11 Country *

1.2.12 Phone number

1.2.13 Gender of Contact Person

Please select

1.2.13 Partner Category

State what role the Partner will play in the projects Implementation

- Project Member
- Support Partner
- Subcontractor

1.2.12 Website

Part 2 Project Financing

SAIS 2 can provide grant financing of between EUR 70.000-250.000 depending on the call window. The project partners must mobilise co-financing equal to min of 20%. See the SAIS Innovation Fund Manual for further information about the financing requirements.

2.1 Financial Information

2.2.1 Total Project Budget *

Euros

2.2.2 SAIS 2 Grant Requested *

Euros

2.2.3 Total Co-Financing *

Euros

2.2.4 Total Co-financing Share *

Euros

Part 3 Project Overview

Please provide a short summary of the project. Why is the project relevant? What problems and/or challenges is the project intending to overcome or solve? What are the expected results? Describe the proposed solutions.

3.1 Project Information

3.3.1 Project Description *

3.3.2 Current Situation *

3.3.3 Project Objectives *

List Specific, Measurable, Attainable, Realistic/ Relevant and Timely (SMART) project objectives

3.3.4 Main Activities

Describe the main activities that are needed for the project to reach its goals. If you need to add more activities, simply click on 'Add Row.'

Activity Number *

Please number each activity.

Activity Description *

3.3.5 Outputs

Describe the main outputs (tangible results) that will be attained by the project implementation. Note that your outputs should reflect the activities to be implemented.
If you need to add more outpus, simply click on 'Add Row.'

Output Number *

Please number each output.

Output Description *

Describe the project's expected outputs and deliverables.

3.3.6 Expected Outcomes

Describe the main outcomes (changes effected) that will be attained by the project implementation. Note that your outcomes should reflect the outputs and their influence on the ecosystem you operate in. If you need to add more outcomes, simply click on 'Add Row.'

Question text

Please number each outcome.

Outcome *

Describe the expected situation in the target market and product/service (compared to the current situation) after the project has ended.

3.2 Project Concept Viability

3.2.1 Project Concept Description *

Describe your project concept. What is the product/service/process that the project intends to bring to the market?

3.2.2 Relevance *

Describe the relevance of the project concept. Explain how the proposed product/service/process is providing a solution to an existing problem/challenge in the target market.

3.2.3 Market Analysis *

Describe the target market. Is there a demand? Who are the expected beneficiaries/customers/users? Has the initial market survey been conducted? If yes, explain the outcome of it.

3.2.4 Competition *

Describe the competition in the market. Are there similar products/services/processes on the market? If yes, what makes the proposed solution different? Has the proposed product/service/process been introduced somewhere else? If yes, explain where and why.

3.2.5 Financial Viability *

Describe how the proposed product, service or process will be economically viable and when.

3.2.6 Social Impacts *

Describe how the proposed product, service, process will generate employment and income generating opportunities for its targeted beneficiaries.

3.2.7 Justification for SAIS 2 funding *

Provide justifications for why grant funding is needed from SAIS 2.

3.2.8 Risks and Risk Mitigation *

3.3 Sustainability

3.3.1 Long Term Vision *

Describe how the proposed product, service, or process will be sustained in the market beyond the SAIS 2 funding. What would be the next stage for the proposed project after the SAIS 2 funding has ended.

3.3.2 Partnerships *

3.4 Development Impact

3.4.1 Sustainable Development Goals (SDGs) *

Select the Sustainable Development Goals (SDGs) that are relevant to the proposed project concept. Please note that if your project makes it to the Full Proposal stage you will be kindly requested to further explain how the project is relevant to each selected SDG.

3.4.2 Describe briefly the expected results of the project concept connected to the selected SDGs.*

3.5 Innovativeness

The SAIS 2 Programme describes innovation as the creation of new value and/or capturing value in a new way. The actions required to create new ideas, products and processes which when implemented lead to positive effective change. While invention requires the creation of new ideas, processes and products, innovation involves going one step further and requires implementation of the inventive act. SAIS 2 understands innovation in line with the OECD definition as new and significantly improved products (goods and services) and processes. SAIS 2 emphasises the importance of the use of technology in the innovation process. Hence the focus of SAIS 2 support to innovation needs to focus on "technologically" new or improved products and processes. It follows that, "A technological product innovation is the implementation/commercialisation of a product with improved performance characteristics such as to deliver objectively new or improved services to the consumer. A technological process innovation is the implementation/adoption of new or significantly improved production or delivery methods. It may involve changes in equipment, human resources, working methods or a combination of these."

3.5.1 Innovativeness of the proposed product, service, process.*

Part 4 Document Submission

The following documents need to be submitted with your concept note application. Attach copies of all documents certified by the relevant authorities.

4.1 Organisation registration certificate

Upload a copy of the Project Coordinator's registration certificate in pdf format. Please name the document as "registration certificate_your project ID" (e.g. "registration certificate_SAIS C2 0001").

Organisation registration certificate *
Accepted formats: PDF (.pdf)

4.2 Project Manager Identity and Expertise

Project Manager Passport *

Please change: "Attach a certified copy of project coordinator's passport or ID in pdf format (the individual responsible for the project at the Project Coordinator entity). Please note that SAIS 2 grantees may be required to travel to other SAIS 2 countries and thus possession of a passport is encouraged. Please name the document as "project manager identity_your project ID" (e.g. "project manager identity_SAIS C2 0001")."

Project Managers Curriculum vitae *

Attach a most recent curriculum vitae of the Individual responsible for the project at the Project Coordinator entity. Please name the document as "project manager CV_your project ID" (e.g. "project manager CV_SAIS C2 0001").

Accepted formats: PDF (.pdf)

4.3 Consortium Agreement

Consortium agreements and letters of co-operation between partners are agreements dealing with intellectual property rights (IPR), confidentiality and non-disclosure agreements (NDA), and must be signed by all project partners indicating their key roles, responsibilities and rewards, and the dissolution of the partnership or continuation at the end of the project duration. The form of these agreements may differ by institution and therefore a standard template is not provided. Please name the document as "consortium agreement_your project ID" (e.g. "consortium agreement_SAIS C2 0001").

Agreement *
Accepted formats: PDF (.pdf)

Please fill in the Annexes 1) Confirmation of Compliance Form, 2) Legal Entity Form, and 3) Application Process Feedback Survey before submitting the Concept Note.

Annex 2: PROJECT SELECTION CRITERIA CONCEPT NOTE STAGE

	Weight	Score (0-5)
1. Criterion 1 – Relevance 1. Does it provide a solution to an identified problem or does it fill a gap in the target area described? 2. Is the need for a SAIS 2 grant well justified? 3. Will the project have a cross-border and/ or SADC relevance? 4. Does the project concept correspond to the topic description in the specific Call Window? 5. Is the proposed concept economically, technically, socially and environmentally viable?	60	
2. Criterion 2 – Project Plan 1. Are the objectives clearly described and convincing? 2. What percentage of financing is requested as a grant and what is forwarded as co-financing? 3. Can the work plan be implemented and objectives achieved in the time and with the resources proposed? 4. Do the partners in the consortium have the required knowledge to implement the project? 5. Does the project plan include appropriate management structure and allocation of tasks & resources?	40	

Scoring Legend

0 - Ungraded: The Proposal cannot be assessed, fails to address the criteria and is incomplete.

1 - Poor: The Proposal has strong weaknesses and the criteria are inadequately addressed.

2 - Fair: The Proposal addresses the criteria on a basic level; a number of weaknesses are still to be addressed

3 - Good: The Proposal addresses the criteria well, with some weaknesses.

4 - Very good: The Proposal addresses the criteria very well, with a small number of weaknesses.

5 - Excellent: The Proposal addresses all the criteria successfully.

Annex 3: CONFIRMATION OF COMPLIANCE

Confirmation of Compliance Form

The SAIS programme requires signed confirmation that the Project Coordinator has been compliant to and has adhered to the appropriate ethical business practices.

Bankruptcy and Contract Termination

State any instances of the following: Where your organisation has had to declare bankruptcy, and where your organisation has had a contract terminated from a donor agency or other funding institution.

In what country is your organisation based? *

Please select

Has your organisation ever filed or petitioned for bankruptcy? *

Please select

If YES, explain in detail the reason why, the filing date and the current status

0 / 100 words

Have you ever had a contract terminated for non-performance? *

Please select

If YES, explain in detail the reason for this termination

0 / 100 words

Ministry for Foreign Affairs (MFA) Anti-Corruption Policies

In accordance with the Ministry For Foreign Affairs Anti-Corruption Handbook for Development Practitioners, the MFA requires that applicants and partners observe the highest standard of ethics during the selection and execution of the project. Any action taken by an applicant and partner(s) to influence the selection process or implementation for undue advantage is defined by the handbook as one of the following: a) Bribery is the act of offering money or other valuables in order to persuade someone to do something for you. Bribery is corruption by definition; b) Favouritism refers to the normal human inclination to prefer acquaintances, friends and family over strangers. It is not always a form of corruption. However, when public and private sector officials demonstrate favouritism to unfairly distribute positions and resources, they are guilty of cronyism (friends) or nepotism (family), depending on their relationship with the person who benefits; c) Embezzlement is the misappropriation of property or funds legally entrusted to someone in their formal position, d) Fraud is economic crime involving deceit, trickery or false pretences, by which someone gains unduly. An actual fraud is motivated by the desire to decieve another to his harm, while constructive fraud is a profit made from a relation of trust.

Confirm that your organisation has not engaged in any corrupt practices in competing for this SAIS Call for Proposals: *

☐ I agree

Officials not to Benefit - Confirm that no official related to the SAIS programme has recieved or will be offered by your organisation any direct or indirect benefit arising from this selection or any resulting contracts: *

☐ I agree

Confirm that your organisation is not directly or indirectly engaged in any activity, including, but not limited to, participation in the SAIS Proposal Evaluation procedure that would put it, if selected for this assignment, in a conflict of interest with the SAIS programme: *

☐ I agree

Confirm that your organisation has not been associated, or been involved in any way, directly or indirectly, with the preparation of the deisgn, specifications and/or documents used as a part of the SAIS Call for Proposals: *

☐ I agree

I am certifying that all the information contained herein is accurate and truthful:

Digital Signature Here

Attach your digital signature here for confirmation agreement.

Drag & drop a file here or click to browse

END FORM

Annex 4: LEGAL ENTITY

Legal Entity Form

Funds cannot be awarded to an entity without the completion of a Legal Entity Form. This form is essential in order to validate and record all legal information of your entity and ensure that it is an approved, registered business.

Business Registration Information

This section details the legal information that pertains to your business. If you do not have a registered business and are going to be implementing a new concept, attach the Curriculum Vitae(CV) of the Project Coordinator in the last section and all other documentation that showcases the Partners experience in the project area of implementation.

Offical Name * ?

Abbreviation (If any)

Business Registration Number *

Date of Registration *

VAT Number (If Applicable)

Place of Registration

Detail the geographical information of where the business has been registered.

City *

Country *

Please select

State the city the business is registered in

Official Address *

State the official address of your business

Place of Registration

Detail the geographical information of where the business has been registered.

City *

State the city the business is registered in

Country *

Please select

Official Address *

State the official address of your business

Postcode *

Postal Address *

City *

Country *

Telephone Number *

Email Address *

Supporting Documentation

Attach all supporting documents that pertain to your organisation's legal entity status. If you are implementing a new concept, attach all the CVs of the Project Coordinators Team as well as any documentation that supports the experience of the team to successfully implement the project.

Business Registration Documents

Attach certified copy of business registration document/s

Business Registration Documents *

Drag & drop a file here or click to browse

Partner Resolutions

Attach partnership agreements with other partners involved in the project.

Partner Resolutions

Drag & drop a file here or click to browse

VAT Registration Documents

Attach VAT registration documents if applicable

VAT Registration Documents *

Drag & drop a file here or click to browse

Additional Documentation

Attach any other legal documentation you feel is necessary to support the application.

Additional Documentation

Drag & drop a file here or click to browse

Additional Information

Attach any other legal documentation you feel is necessary to support the application

Additional Documentation

Drag & drop a file here or click to browse

FORM END

Annex 5: IPR GUIDANCE

Recommendations for Projects on Intellectual Property in SAIS 2 Projects

For the purpose of the SAIS 2 projects, the Foreground Intellectual Property (IP created during the project) belongs to the consortium that has been awarded funding for implementing the projects – as represented by the organisations and not the individual staff members. Neither the donors of the SAIS 2 Programme nor the NCRST has vested rights in the IP of the grant-funded projects. For the scope of the SAIS 2 funded Projects, the Background IP (IP created independently by the project consortium prior to project inception) is vested in each partner in the consortium. Foreground IP created during the project has to be shared though an IPR agreement developed by the consortium. All partners are encouraged to define and provide their IPR agreements with their first report, if this has not yet been finalised at Full Project Proposal stage. It is critical that all parties concerned sign IP agreements, which should relate to:

8. IP brought by the partner at the inception of the project (Background IP – prior art, technology, experience/ patents etc.)

9. IP co-discovered and contributed to during the project (Foreground IP)

10. IP created for a certain time reaching into the post collaboration period (Postground IP)

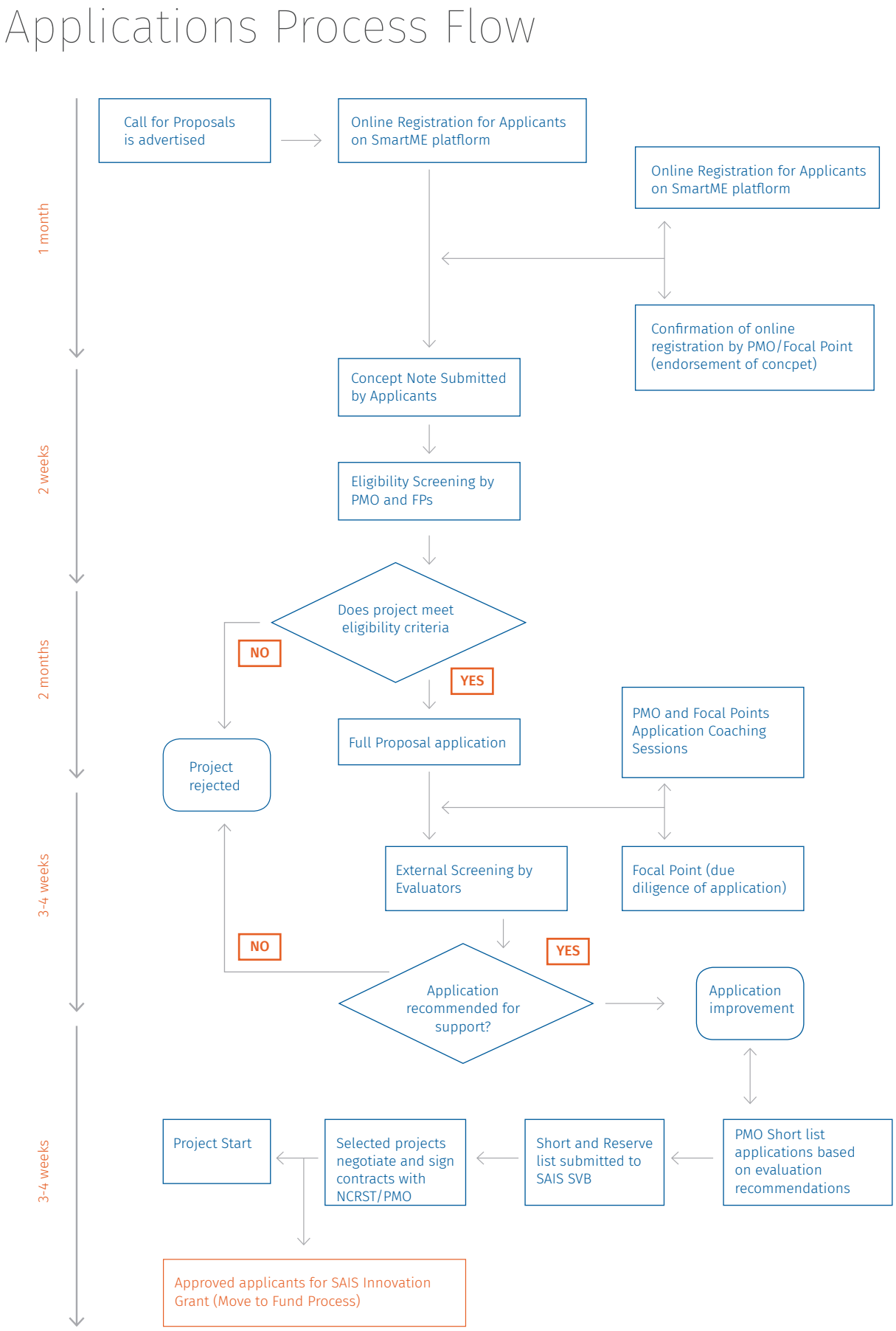
11. exploitation of IP during and at the end of the project

12. possible routes for commercialisation and technology transfer if applicable

13. use of proprietary know-how, manuals, handbooks, training materials especially in capacity building and training

At most universities and research institutes the IP created in the course of a researcher's career belongs to the institution rather than to the researcher or investigator; it is thus important for project implementers to ensure that they have completed due diligence within their institutions and have commenced efforts to identify and secure IP before commencement of their projects in collaborative partnerships and consortia. Furthermore, it is critical for project teams to ensure that third party service providers contracted by the consortium and implementing team sign non-disclosure agreements (NDA), specifically when contracted to test formulations, conduct technical validation of products or IP due diligence during the course of the project. It is recommended that due to the regional nature of the SAIS 2 projects, the IP laws of the particular country where the IP was created will govern the protection of the particular IP produced by the consortium partner. The African Regional Intellectual Property Organisation (ARIPO) is an intergovernmental organisation for cooperation among African states in patent and other intellectual property matters, established by the Lusaka Agreement of 1976. It has the capacity to hear proposals for patents and registered trademarks in its member states, who are party to the Harare (patents), Banjul (marks) and Arusha (plant varieties) protocols. Of the SAIS 2 partner countries, Botswana, Namibia, and Zambia are members of ARIPO. For a detailed list of the IP laws in Southern African countries, please refer to http://www.adamsadams.com/index.php/africa/africaniplaw/.

Annex 6: SAIS INNOVATION FUND APPLICATION PROCESS FLOW



Annex 7: PROGRAMME FEEDBACK SURVEY

Application Process Feedback Survey

The SAIS Programme is working to improve its grant application process. Your candid feedback is essential to this process. Please complete the following survey. Your responses will be used to help SAIS improve its processes. We greatly appreciate your help and we wish you all the success in your grant application!

How clear were the instructions for the different aspects of the proposal process? Please provide feedback if any part of the application could have been more clear. *

0 / 100 words

Please comment and elaborate on difficulties if encountered: *

0 / 100 words

If you participated in a webinar or an information session for prospective applicants, please indicate the extent to which it was helpful. *

Please select

Please comment on your selection: *

0 / 100 words

How easy was it to use the SmartME Online Application system? *

Please select

Please comment on your selection: *

0 / 100 words

To what extent did you understand why each attachment and piece of information was required by the SAIS Programme? *

Please select

Please comment or elaborate: *

0 / 100 words

In your experience, how did the SAIS application process fare compared to other grant funders? *

Please select

Please comment on your selection: *

0 / 100 words

How many hours approximately did it take to prepare your application for funding? *

Please select

Please comment on why you think it took the above mentioned time: *

0 / 100 words

In your experience, was the application process the 'right length' or proportionate to the size and the type of grant? *

Please select

Please comment on your selection: *

Do you have any other comments you would like to make on the Grant Application Process?

0 / 100 words

State any other comments as related to your experience of the SAIS Call for Proposals that you feel is worth mentioning to improve the process.

THANK YOU FOR YOUR FEEDBACK!!

Annex 8: GLOSSARY OF TERMS

Southern Africa Innovation Support Programme (SAIS):

The SAIS Programme is an innovation support Programme funded by the Ministry of Foreign Affairs, Finland, that aims to facilitate the enhancement of regional innovation cooperation and national innovation systems contributing to inclusive business and employment. The SAIS Programme will run for a duration of four years and will implement activities in the five partner countries of Botswana, Namibia, Zambia, South Africa and Tanzania.

SAIS Programme Management Office (PMO):

This refers to the SAIS Secretariat. The Programme Management Office is located in Windhoek, Namibia and conducts all the administration and management of the SAIS Programme within its partner countries and with its key implementing partners.

SAIS Supervisory Board (SVB):

The SAIS SVB is the highest decision-making body of the project. The members of the SVB represent the SAIS partner country representatives as well as representatives from the Ministry of Foreign Affairs, Finland. The partner country representatives sitting on the SVB are from the central ministry or government agency implementing the project in each of the given countries.

Ministry of Foreign Affairs, Finland (MFA):

The Ministry for Foreign Affairs (MFA) is responsible for the preparation and implementation of the Finnish Government's Foreign Policy.

The Ministry of Higher Education, Training and Innovation (MHETI):

The MHETI is the government body tasked with instituting the educational curriculum in Namibia. The Ministry is represented on the SAIS 2 Supervisory Board.

The National Commission on Research, Science and Technology (NCRST):

NCRST is the coordinating agency that facilitates the development of Research, Science, Technology and Innovation towards socio-economic advancement for Namibia by 2022. It is the focal point for the SAIS 2 Programme in Namibia.

The National Technology Business Centre (NTBC):

The NTBC was established with the main objective of linking developed and proven technologies from various local and international sources with the local technology seekers i.e. business community and entrepreneurs, for creation of wealth and employment. It is the focal point for the SAIS 2 Programme in Zambia.

Technology Innovation Agency (TIA):

TIA is a national public entity that serves as the key institutional intervention to bridge the innovation chasm between research and development from higher education institutions, science councils, public entities, and private sector, and commercialisation. It is the focal point for the SAIS 2 Programme in South Africa.

The Tanzania Commission for Science and Technology (COSTECH):

COSTECH is a parastatal organization with the responsibility of co-ordinating and promoting research and technology development activities in the country. It is the chief advisor to the Government on all matters pertaining to science and technology and their application to the socio-economic development of the country. It is the focal point for the SAIS 2 Programme in Tanzania.

The Botswana Innovation Hub (BIH):

BIH is incorporated as a company to develop and operate Botswana' s first Science and Technology Park to create an environment that supports start-ups and existing local companies as well as attract international companies and institutions to develop and grow competitive technology driven and knowledge based businesses. It is the focal point for the SAIS 2 Programme in Botswana.

Donor:

This refers to the financiers of the SAIS 2 Programme - The Ministry for Foreign Affairs of Finland (MFA).

Innovation:

Innovation is the creation of new value and/or capturing value in a new way. The actions required to create new ideas, products and processes which when implemented lead to positive effective change. While invention requires creation of new ideas, processes and products, innovation involves one step further and requires implementation of the inventive act.

Project Coordinator:

This is the main responsible party of the consortium (of companies/organizations/institutions) which has submitted a successful project proposal and been selected for funding by the SAIS Programme, and is the main contracting partner who has signed the contract agreement for the SAIS Innovation Fund Project with MFA. The Project Coordinator reports to the SAIS PMO on behalf of the consortium and has overall accountability and responsibility for project implementation, monitoring and control and delivering project results.

Consortium Agreement:

Collaboration between two or more parties on an agreed project or programme. The agreement includes the roles and responsibilities of each partner, funding, governance and decision making, IP ownership, management and benefit sharing.

Non-disclosure agreements (NDAs):

Also referred to as secrecy or confidentiality agreements are used to facilitate discussions with potential collaborators, investors and licensees and may involve unilateral or mutual exchange of information. Each party undertakes to maintain the confidentiality of information received and to use it for a specified purpose.

Project Manager:

Named by the Project Coordinator, is responsible for project administration of the funds received and collation of reports etc. for submission to the SAIS Programme Management Office.

Project (Implementing) Team:

This refers to the officers appointed by the organisations in the project consortium to carry out the day to day activities for the project. The project implementing team may consist of additional members from the Consortium depending the needs and scale of the project and project timeline.