GUIDE FOR APPLICANTS

Grants for Regional Innovation Projects

Call Identifier SAIS 2020/3
CONTRACTING AUTHORITY

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NATIONAL FOCAL POINTS
GUIDE FOR APPLICANTS

Grants for Regional Innovation Projects

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About This Document

Introduction and Background
This document, the SAIS 2 Innovation Fund Challenge Competition RE:innovation Guide for Applicants, describes how to prepare a proposal for the RE:innovation challenge call for proposals. It contains the instructions and templates as well as background information required to prepare and submit a proposal. It indicates how applicants are to respond to the RE:innovation challenge call, including the desired scope for the proposals. Next, this guide 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 the selection and subsequent evaluation 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 proposal. The annexes include document templates and policy guidelines that are useful when preparing a proposal.

The RE:innovation Guide for Applicants together with the RE:innovation Challenge Text constitute the information package for the RE:innovation challenge call for proposals (CFP 2020/3). These documents comprise all the information applicants need to prepare the proposal.

The SAIS 2 Innovation Fund challenge competition RE:innovation (CFP 2020/3) is published on the SAIS 2 Programme website and on National Focal Point websites (in English).

The official language for the challenge, proposal, and other documentation related to the SAIS 2 Innovation Fund is English.

1 If invited by the SAIS 2 Programme Management Office (PMO) to negotiate the final grant agreement, the successful applicants will be provided with the SAIS 2 Innovation Fund Manual, including the SAIS 2 Guide for Project Implementation, which advises grantees on how to manage their projects and administer the related grants in accordance with the project grant agreement.
The published Call for Proposals Text (Call Identifier SAIS 2020/3) and this SAIS 2 Guide for Applicants have legal precedence over all SAIS 2 communications regarding the RE:innovation challenge call.

The evaluation of proposals submitted for this challenge call assumes that the reader has acquainted him- or herself with the RE:innovation challenge text and this guide for applicants. The SAIS 2 Innovation Fund Manual will be released to projects selected for grant agreement negotiations, and it will contain the SAIS 2 Guide for Project Implementation.

The SAIS 2 Grant Agreement and its annexes specify the (non-negotiable) terms and conditions each applicant is expected to accept if their proposal is selected for funding.

All the aforementioned documents, together with additional background documents, are available on the SAIS 2 website, www.saisprogramme.org.

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2 The National Focal Points for SAIS are: Botswana – The Botswana Innovation Hub (BIH); Namibia – The National Commission for 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).
Introduction and Background

The second phase of the Southern Africa Innovation Support Programme (SAIS 2) is a regional initiative set up by the Ministry for Foreign Affairs of Finland in cooperation with the Governments of Botswana, Namibia, South Africa, Tanzania, and Zambia, as well as the Secretariat of the Southern African Development Community (SADC). The programme’s objective is to foster entrepreneurship and to enhance cooperation amongst innovators and actors through strengthened innovation ecosystems.

Implemented from 2017 to 2021, the programme continues to build on the achievements of the first phase (2010–2015), with a more targeted focus on supporting entrepreneurship, inclusive innovation, and innovation ecosystems at local and transnational level. The regional dimension allows SAIS 2 beneficiaries to share experiences and collaborate to address common challenges through increased interaction.

SAIS 2’s implementation focuses on concrete and practical innovation activities delivered in a programmatic manner with a basic set of common modalities. The SAIS 2 Innovation Fund is the programme’s main delivery instrument, and provides grant funding to local projects aiming to validate or replicate new or improved products, services, or processes (innovations) in SADC markets. The Innovation Fund aims to facilitate in-built learning, scalability, and replicability, with multiple organisations within the public and private sectors being enabled to take ownership of and replicate established good practices beyond the programme’s lifetime. By building the capacity of local innovation support organisations to support entrepreneurs through cross-border pilot projects, SAIS 2 fosters the linkages between various ecosystems and coordination on regional knowledge sharing. SAIS 2 Innovation Fund financing is allocated on a competitive basis as grants, with calls for proposals organised by the SAIS 2 Programme Management Office (PMO).

As of 2020, the programme has closed two calls, which were run in 2018 and 2019. RE:innovation, the SAIS 2 Innovation Fund’s third call for proposals, is organised by following a challenge approach. This approach entails an open competition to trigger
innovative and cost-effective solutions to development issues that do not have readily available answers, are not addressed by market forces, or that fall into cracks caused by market failure. This also provides an opportunity to explore and to activate partnerships with or between organisations that may not commonly participate in development projects. A challenge is also seen as a vehicle to mobilise additional capital and other resources on top of the grant offered.

The RE:innovation challenge calls for solutions that make startup ecosystems more resilient towards unexpected shocks. As such, the RE:innovation challenge is not a call directly suitable for research and development or idea-stage projects. This is a call for ideas backed by existing prototypes or concepts that need to be piloted/validated before being implemented to the market. Alternatively, the RE:innovation challenge can support an existing innovation already in use but would benefit from (incremental) improvement or from transferring to other market(s)/context(s), to be pilot tested or validated ahead of launch. Projects supported as a result of the RE:innovation challenge should be completed by the first quarter of 2021.

The total budget (purse) for this call for proposals (CFP 2020/3) is EUR 250,000, provided by the Ministry for Foreign Affairs of Finland under the SAIS 2 Innovation Fund. No more than six projects are estimated to be funded, with at least one project being funded in each of SAIS 2’s partner countries (Botswana, Namibia, South Africa, Tanzania, and Zambia). Only consortiums led by an innovation support organisation registered in one of the partner countries are eligible to apply.

SAIS 2 encourages cross-border cooperation, and thus consortium members may come from any other countries in Africa or elsewhere in the world. Proposals submitted by consortium with a partner based in Finland will have preference in the evaluation. All consortium members must be registered legal entities.

The application process for RE:innovation is a single-stage process. Interested applicants submit their application on the digital platform SmartME, the link to which is provided on the SAIS 2 Programme website. After the evaluation, selection of shortlisted projects, and a due diligence process, the SAIS 2 Supervisory Board (SvB) approves the final list of projects to be funded. Afterwards, the grant agreement negotiations will commence between the consortium project coordinator and the SAIS 2 Project Management Office (PMO). The grant agreements are signed between the Namibian National Commission of Research, Science, and Technology (NCRST), which is acting as the contracting authority on behalf of SAIS 2, and the project coordinator representing the consortium.

The SAIS 2 PMO works in close cooperation with NCRST in implementing the SAIS 2 Innovation Fund. Besides signing the agreements, NCRST is the key partner in administrating the SAIS 2 Innovation Fund grants, and is responsible for the grant disbursements to the projects. While implementing the SAIS 2 Innovation Fund projects with the grant provided, grantees are expected to follow the NCRST’s Code of Ethics (provided as an annex to this guide).
Objectives and Results

1.1 Overall Objectives

1.2 Expected Results
1.1 Overall Objectives

The RE:innovation challenge competition is triggered by recent experiences, where sudden external and internal influences – such as the COVID-19 pandemic – can interrupt the operation of business sectors or even whole industries. These shocks can be particularly harmful for subsets of sectors that are new and complex, and that comprise various interests, such as ecosystems supporting tech entrepreneurs and related early-stage ventures.

RE:innovation’s objective is to find scalable solutions that can improve resilience in innovation, entrepreneurship, and/or startup ecosystems against uncertainties and unexpected occurrences. A resilient ecosystem can comply with external and internal influences and continue functioning without halting activities, or reorganise without losing its underlying function. Resilience is a critical feature not only for speedy recovery or tolerating change, but also for the ecosystem’s development and growth.

In SAIS 2’s view, innovation happens on the ground at the local level, where customers are using products and services delivered by the private sector or public authorities. Similarly, it is in the local ecosystems where most of the support services are delivered to startups by innovation intermediaries. At the same time, social and economic constraints are most visible at the local level, and a lack of understanding of ecosystem needs may lead to a sub-optimal use of resources.

In some environments, the public sector plays a pivotal role in ensuring that policies supporting startups foster cooperation with more established role players, such as industry and academia.

Part of the RE:innovation challenge’s mission is to explore how to improve local government authorities’ and/or development agencies’ understanding of startup ecosystems and their needs – especially in times of uncertainty. Complementary foresight training will be offered to local authorities to make them better placed to prepare for the future and transform policies to assist startups and related ecosystems. The SAIS 2 PMO and its National Focal Points have also partnered with selected local government authorities/development agencies, which may offer piloting platforms in the future for solutions that address their particular needs.

For SAIS 2, the term “startup ecosystem” refers to clusters and networks of entrepreneurs, investors, firms, universities, research labs, government agencies, and other institutions as well as the resources they bring to support startups and early-stage entrepreneurs.
1.2 Expected Results

The RE:innovation challenge competition is expected to provide five or six solutions that are developed up to the stage where these can be implemented for the benefit of startup ecosystems in the five SAIS 2 partner countries. It is up to the applicants to choose the ecosystem and to establish how the given ecosystem will benefit from the solution, and/or which stakeholders will be the beneficiaries.

Proposals selected to receive the SAIS 2 Innovation Fund grant should cover a part of the natural roll-out process of an existing product, service, or process, and thus be an integral part of the activities of the consortium’s member organisation(s). The emphasis of a SAIS 2 project should therefore be on the pilot testing or validation of the proposed solution rather than on developing a completely new technology or idea.

The proposal should provide the vulnerability within a selected ecosystem that is to be addressed by the proposed solution. It should also describe the solution and explain how it would improve the ecosystem’s resilience.

The proposal needs to describe the anticipated take-up of the solution as a short use case, i.e. to explain using a sequence of events or actions how a solution will be used to produce a result of observable value to ecosystem members, where that result is specified.

SAIS 2 is an implementation programme and will therefore not fund projects that exclusively focus on research, market surveys, or on policy development. However, such activities can be part of the project if they clearly support the pilot testing/validation with real-life customers.
RE:innovation challenge applications are expected to:

- describe the proposed solution and its technical features,
- describe what is innovative in the proposed solution,
- describe whether the proposed solution has been used and tested in the market (provision of evidence is required if this is the case),
- identify who owns and/or is planned to own the solution,
- identify the target market, beneficiary, or region,
- identify who will deliver the solution to the market after the validation is over (and how),
- identify how and where the solution is to be pilot tested/validated over the implementation period (three to five months),
- describe how the validation process is to be conducted, including but not limited to (i) how the proposed solution is to be delivered for user testing, (ii) how the user feedback is collected, (iii) what types of (personnel, financial, technical, etc.) resources are needed, (iv) what are the roles and tasks of the different persons/organisations in the project consortium, and (v) how proposed resources are allocated per organisation/task to support the validation,
- briefly explain the anticipated revenue model for the eventual take-up of the solution, or how the solution is envisaged to be financed if the beneficiaries are not expected to pay for the solution.

The Innovation Fund grant recipients are expected to deliver a mid-term and final report during the project implementation describing the progress made and finances used. At the end of the project, a business plan is to be delivered describing the feasibility of the proposed solution and a strategy for future implementation in the market. The report is to be backed by evidence gathered by the project team during the SAIS 2 Innovation Fund-supported validation period.

At the end of the implementation period, the SAIS 2 challenge competition grant recipients will have an opportunity to present their proposed solution and the results to a selected group of SAIS 2 stakeholders comprising public authorities and private organisations supporting innovation in SADC. This could potentially lead to more opportunities, such as the further adoption of solutions beyond the initial target market selected by the consortiums.
SAIS 2 Financing and Cost Models

2.1 Budget of the RE:innovation Challenge

2.2 Project Reporting and Disbursement of Funds

2.3 Cost Model for RE:innovation
2 SAIS 2 Financing and Cost Models

2.1 Budget of the RE:innovation Challenge

RE:innovation’s implementation is subject to the following conditions:

1. The total budget for the implementation of the RE:innovation challenge call for proposals (SAIS 2 CfP 2020/3) is EUR 250,000.

2. The levels of grants awarded per project as well as the duration of a given project may vary according to the applicant’s needs and the requests, with the grant amount ranging between EUR 30,000 and 50,000.

3. The grant award period is aligned with the project implementation lasting three to five months.

NB: VAT expenditure must be recovered in the project consortium country and cannot be claimed from the SAIS 2 PMO or the NCRST.
2.2 Project Reporting and Disbursement of Funds

Projects report their progress to the SAIS 2 PMO according to the Milestone Disbursement Schedule (MDS) agreed in the project work plan (which will be annexed to the grant agreement). The project coordinator is expected to submit a Milestone Disbursement Schedule as a part of the proposal seeking for funding.

Due to the short duration of the projects, a maximum of two disbursements are envisaged: the first and the final disbursement. SAIS 2 applies results-based funding, which means that funding is provided to project implementers after delivery and verification of the project results. The grant agreement to be negotiated with successful projects will include the following annexes a) a Project Work Plan (Description of Work), b) a Project Budget Table, and c) a Project Results Framework defining the results chain, including the results themselves. These three documents will show how the SAIS 2 funding is to be divided between results to be achieved in milestones/outputs, and amongst the organisations participating in the project consortium.

Each milestone is paid ex-post, after the delivery and verification of the deliverables (outputs). All agreed outputs shall be achieved before the date of project completion as described in the grant agreement.

The project Work Plan and the Results Framework will guide both the project execution and control the resources and activities used for the implementation. The project Work Plan explains how and when a project's objectives are to be achieved. It also shows the major deliverables, activities, resources required and efforts allocated on the project by the project coordinator and project members, and objectives to be achieved as scheduled milestones. The project Work Plan thus explains who in the project consortium is responsible for each activity and deliverable as per the project consortium agreement. The project coordinator monitors the overall implementation, performance, and achievement of deliverables accorded to each project member. All applicants are advised to consider this carefully when preparing their proposal.

SAIS 2 Innovation Fund grants are disbursed based on activities achieved and completed. A given activity is linked to the achievement of a specific milestone, with milestones representing a clear sequence of events that incrementally build up until the project is complete.

Reporting on project progress is based on milestones, i.e. linked to the completion of important achievements in a project. The achievement of a milestone is to be reported in the form of Milestone Report and Financial Report, which will in turn release the disbursement of funding allocated to that particular milestone. As the SAIS 2 Innovation Fund grant is provided in only two disbursements linked to the milestones, the applicants should carefully consider how to time their project activities.
As project milestones is paid ex-post, after delivery and verification of the deliverables, all agreed outputs shall be achieved before the date of milestone completion as described in the grant agreement. The first milestone can represent a minimum of 35 % of the total grant. A minimum of 35 % of the total grant is to be allocated at the end of the project as final payment (last milestone). The final part of the SAIS grant agreement is released after the project has been fully completed, i.e. after receipt of the Project Completion Report and verification of the achievement of the final results/milestone. The level of funding is capped by the total grant as stipulated in the grant agreement and cannot be increased, even if results have been exceeded.

**NOTE:** Because the SAIS 2 Innovation Fund does not provide advance payments, consortiums behind proposals must be prepared to cover the costs of starting the project with their own resources. This is one of the reasons why it is required that the consortium provides a minimum of 20% of the project’s value as matching funding in kind and/or in cash.

See section 2.3 Cost Model for more information.

![Picture 1: Proposed allocation of funding under a two-milestone structure](Image)

Month 0  Month 1  Month 5

**Milestone 1**  **Milestone 2**

Get started with own resources  First Milestone Payment 35-65 % Reimbursement by SAIS 2 Grant  Final Payment 35-65 % Reimbursement by SAIS 2 Grant
2.3 Cost Model for RE:innovation

The selected RE:innovation projects are expected to use the grant funding to roll out their solution to a target market or validate (pilot test) their solution. The grant is not to be used to cover core operational costs (overheads) of the organisation(s) behind the project consortium. Nor are any substantial product development activities (R&D) to be supported from the SAIS 2 grant. Solutions are required to be at least at the prototype stage or to already exist in order to be eligible for this grant.

As each milestone is paid ex-post, after delivery and verification of the deliverables, all agreed outputs shall be achieved before the date of project completion as described in the grant agreement.

- **70%** Most of the grant financing (at least 70%) should be used to fund direct costs (salaries, materials) associated with the project.

- **20%** No more than 20% of the project funds should be committed to travel. It is recommended that the project consortium uses digital means to conduct the activities, if not based in the same country.

- **15%** A management fee of no more than 15% can be charged by the project coordinator, inclusive of the project grant, in the case that the project is coordinated by an organisation other than the one committed to implementing the solution. This applies in special occasions, for example if the solution is owned and provided (implemented) by a startup, the SAIS 2 project can be coordinated by an innovation support organisation (university, incubator) as startups are not eligible to operate as project coordinators. In this case, the innovation support organisation is allowed to charge up to 15% of the total grant.

- **20%** The overall value of work allocated to one sub-contractor cannot exceed 20% of the overall value of a SAIS 2 Innovation Fund grant.

The SAIS 2 Innovation Fund does not take any equity on the solutions, intellectual property, or the organisations supported by the grant.

### 2.3.1 Matching Funding (Co-Financing)

Matching funding of at least 20% of the total project budget is expected to be provided by the applicant, 10% in cash and 10% in kind. The cash contribution should be provided in the form of a bank guarantee or bank statement upon signing the grant agreement. Applications committing a higher percentage of cash contributions enjoy a preference during evaluation.

RE:innovation challenge fund grants should cover only direct costs associated with the implementation of the projects. This means the project consortium will need to provide matching funding for any additional or indirect costs not immediately associated with the project. It is up to the project consortium to decide where to allocate their own resources.
In-kind contributions may include the following:

- use of specialised equipment/facilities owned by the consortium members
- office and test-bed space used that include utilities
- administration costs for administering the grant – these are exclusive of the management costs for the innovation support organisation (as described under section 2.3)
- salaries of permanent personnel directly involved in the project, calculated in line with the amount of time exclusively spent on the project, but excluding overhead costs
- international and local travel, insurance, accommodation, per diems, and subsistence allowance for project personnel (costs that go over the 20% grant funding limit).

The compensation of travel and subsistence costs charged from the grant are applied according the rules of Government of Finland.

There is no limit on how much co-financing other parties can provide for the project. Co-funding is encouraged by SAIS 2 as it demonstrates commitment, ownership, and risk-sharing on the part of the project consortium. Applicants with a higher percentage of in-cash matching funding will be shown a preference during evaluations.

SAIS 2 will accept applications from interventions already supported by other financiers and/or donors. The project or part of the project proposed to be funded by the SAIS 2 Innovation Fund grant needs to be complementary and not overlap with existing activities.
Eligibility

3.1 Project Consortium

3.2 Project Consortium Agreement

3.3 Roles of Project Consortium Partners

3.4 Geographical Focus
SAIS 2 funding is available to consortiums comprising registered organisations from the public and private sector as well as from academia and civil society. All members of consortiums interested in applying for funding must be legally registered entities, i.e. enterprises, public bodies, or non-profit organisations. **Individual persons are not eligible to apply for SAIS 2 Innovation Fund grants.** The application’s eligibility is assessed at the level of the project consortium and the project coordinator.

### 3.1 Project Consortium

SAIS 2 emphasises collaboration, replication of good practice, and exchange of knowledge within and across ecosystems. Therefore, proposals are invited from a combination of organisations or a group of organisations formed to undertake the implementation of the proposed project. For the purpose of SAIS 2, such group undertakings are defined as the project consortium, which must comprise an association of two or more companies or organisations with the objective to participate in a common activity and/or to pool their resources for the achievement of a common goal through a project supported by the SAIS 2 Innovation Fund grant.

To be eligible to apply, the consortium must be led by an innovation support organisation based and operating as a legally registered entity in one of the SAIS 2 partner countries. This innovation support organisation will act as the project coordinator, and must submit the application for funding. The innovation support organisation is to be the lead on the administration of the project, enabling the implementing team to focus on the project activities. See section 2.3 Cost Model for RE:innovation for information on administration fee allocations.

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4 All members of the project consortium must be committed to the submission of and the participation in the project. 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; realistically estimate personnel and finance requirements; and define a realistic “business” target that addresses a real need. After this agreement, the proposal must be drafted and circulated to all partners until a final version is agreed on. The project coordinator will submit the proposal on the consortium’s behalf.
An organisation that owns a product, service, or process that is to be used to provide the proposed solution must be part of the consortium.

The project consortium must have the expertise and resources (personnel, equipment, finance, etc.) necessary to successfully implement the proposed project. Expertise and resources should be convincingly integrated to form a coherent action and must be presented in the proposal. All consortium members must have the financial means to carry their share of the co-financing for the project, and have an adequate number of staff at their disposal to implement the project. The consortium members 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.

It is essential that skilled project management resources will be made available (e.g. the project manager) by the consortium. The CV of the individual person proposed by the project coordinator to act as project manager needs to include recent references of previous projects managed. (See section 3.3.1 Project Coordinator.)

### 3.2 Project Consortium Agreement

Consortium members should stipulate agreements between them regarding the completion of the project work, and provide this in written form as a consortium agreement. The consortium agreement 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 with many members. While the SAIS 2 PMO must be provided with consortium agreements, they are not subject to the PMO’s approval.

All project members must sign any consortium agreements and letters of co-operation between members, agreements on intellectual property rights (IPR); as well as confidentiality and non-disclosure agreements (NDAs). Copies of these agreements are to be provided with the application. These agreements indicate all involved parties’ key roles, responsibilities, rewards, and the dissolution of the consortium or its continuation at the end of the project. The form of these agreements may differ from institution to institution and SAIS 2 therefore does not provide standard templates for these agreements.
3.3 Roles of Consortium Partners

3.3.1 Project Coordinator

The project consortium applying for a grant from the SAIS 2 Innovation Fund must consist of at least two independent legal entities from one or more 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 (“grantee”) with the SAIS 2 Innovation Fund must be an innovation support organisation that is a legal, registered entity based in one of the five SAIS 2 partner countries, i.e. Botswana, Namibia, South Africa, Tanzania, or Zambia. The grantee is responsible for the coordination of the project and therefore also acts as the project coordinator.

The signatory organisation must nominate a designated individual to act as the project manager. The representative of the project coordinator organisation (who will also be the signatory to the grant agreement with the SAIS 2 Innovation Fund) can be a different person than the one nominated to act as project manager. The signing representative and the individual acting as project manager must both be employed in the signatory organisation. The project coordinator leads the consortium and has the responsibility to keep the other members informed of the group’s progress and intended activities throughout the application process.

3.3.2 Project Members

Project members are legal, registered entities that are in agreement with the project coordinator to participate as part of the project consortium in the implementation of a specific part of the project, and derive benefits from project activities.

3.3.3 Sub-Contractors

A sub-contractor is an individual or organisation that is procured only to provide services or products to the project consortium that are 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 value of work allocated to one sub-contractor cannot exceed 20% of the overall value of a SAIS 2 Innovation Fund grant.
3.3.4 Support Partners

Support partners are third-party organisations that have a mutual interest in products, services, or applications used and produced by the project and can also form partnerships with the consortium. In other words, entities that support the project consortium but are not members of the consortium, such as funding entities, knowledge partners, or providers of a test bed for project interventions, are a project’s support partners. These entities can be based anywhere in the world. However, because these entities are not part of the consortium, they cannot receive SAIS 2 grant funding.

3.4 Geographical Focus

SAIS 2 expects the consortia to include in their applications mechanisms that can connect organisations to each other across borders to exchange practical knowledge and solutions on what works, where, and why. Each project consortium that applies for SAIS 2 funding should have the following minimum requirements:

1. Two independent, registered legal entities from one or more SADC member states, with the project coordinator being a registered entity based in a SAIS 2 partner country (Botswana, Namibia, South Africa, Tanzania, and/or Zambia).

2. SAIS 2 encourages participation of entities from countries outside SADC in projects, particularly from Finland, where such participation is of mutual interest and ensures the interoperability of products, services, and applications.

3. Project activities are to be implemented in a minimum of one SAIS 2 partner country.
Application Process

4.1 General Description

4.2 General Rules

4.3 Indicative Timeline for the RE:innovation Challenge Call for Proposals (CfP 2020/3)
SAIS 2 financing is allocated on a competitive basis. Interested applicants submit proposals that will be assessed according to the eligibility criteria.

4.1 General Description

Application for the RE:innovation challenge call is a single-stage process comprising the submission of a proposal to validate or pilot test an existing solution over a three-to-five-month testing period, with a selected target audience or test location in one or more of the five SAIS 2 partner countries. Existing solutions that had some initial success and impact to scale are eligible to apply, provided that a proposed improvement or different target audience is sufficiently described.

SAIS 2 financing is allocated on a competitive basis. Interested applicants submit proposals that will be assessed according to the eligibility criteria. All proposals fulfilling the eligibility criteria will be evaluated by an independent panel of experts comprising representatives from the SAIS 2 PMO, SAIS 2 National Focal Points, and independent experts.

The proposals submitted for the RE:innovation challenge competition should be brief, focusing on the applicant’s fulfilment of the selection criteria; a problem statement; an introduction to the potential solution and existing results (if any); an overview of the consortium partners and their roles; and an introduction to the key aspects of the activities to be supported over the implementation period.

In broad terms, the evaluation will assess the following:

- The feasibility of proposed solutions to be piloted/validated in the local context
- The feasibility of the proposed solutions for further take-up after the SAIS 2-funded project is complete
Please refer also to Annex 1: Indicative Evaluation Criteria.

The project coordinators will be informed of the outcome of the evaluation procedure at the latest four weeks after the application submission deadline. Only when the evaluation and selection procedures described above are completed will selected projects be informed and invited for negotiations and contracting.

### 4.2 General Rules

- **Applications for the SAIS 2 RE:innovation challenge call are open from 26 August to 27 September.**
- **Proposals received after the submission deadline will automatically be rejected.**
- **The proposals must be submitted in the English language.**
- **All financial information included in the proposal shall be in euros.**
- **SAIS 2 reserves the right to request additional information at any stage of the application process.**

- **SAIS 2’s grant decision is not binding until the grant agreement with annexes has been signed after negotiations. SAIS 2 reserves the right to reject any application until the signing of the grant agreement.**

- **All SAIS 2 project members must adhere to the NCRST Code of Ethics (Annex 2 to this document). Consequently, any project consortium member who has engaged or engages in any prohibited practice (as defined in the aforementioned policy) or in other wilful misconduct will be considered ineligible.**
4.3 Indicative Timeline for the RE:innovation Challenge
Call for Proposals (CfP 2020/3) Application Process

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The selection process following the evaluation of the proposals will include consultations with the SAIS 2 partner country representatives and the Ministry for Foreign Affairs of Finland. After the completion of the evaluations, the formal selection decision will inform all project consortiums of the results. All formal decisions will be sent to the project coordinators by October 2020. The information is shared in the format of the SAIS 2 Evaluation Summary Report (ESR), which does not imply or prejudge in any way an accordance of funding or a rejection thereof; it is for feedback only. Grant agreement negotiations with the successful applications begin in October 2020, with the signing of grant agreements and subsequent commencement of projects in October 2020.
SAIS 2 Proposal Submission Tool

5.1 SmartME

5.2 Registering for and Using SmartME

5.3 Support, Helpdesk, and User Guides

5.4 Privacy of Applicant Data
SAIS 2 Proposal Submission Tool

5.1 SmartME

SAIS 2 uses the SmartME online platform for the preparation and submission of proposals. This tool is available to applicants on the SAIS 2 website (www.saisprogramme.org).

SmartME is an online system designed to manage the SAIS 2 Innovation Fund calls for proposals and project implementation cycle. The proposal must be drafted in the format prescribed on this platform. SmartME works to improve the project consortium’s efficiency by automating aspects of the application process. It provides the team with access to all the relevant information pertaining to the proposal. Submitting an application via email, regular mail, or any other channel is not possible, and submissions made in any way other than through SmartME will automatically be rejected.

Applicants can log onto the SmartME system and apply online as soon as the call has been opened. An applicant can draft, complete, and submit information without the need to store any documentation or lose any unsaved work. All additional documentation can be uploaded onto the system and remains available to the applicant.
5.2 Registering for and Using SmartME

Interested applicants can register on the SmartME system as follows:

As an applicant, you first have to register on the SMARTME portal using your name and email address, and choosing your password.

The next step is to confirm the registration through your email. You will receive a registration confirmation on the email address you provided. Click on the link to complete the registration.
Re-enter and confirm your password. Activate your account by clicking the Activate button. After successful activation, you can log in to the system.

You may login to the system at any time by going to: https://smartme.adalia.fi/login. If you forget your password, click on the Forgot password? link.
5.3 Support, Helpdesk, and User Guides

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

5.4 Privacy of Applicant Data

All data entered on 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.

6. Contact and Further Information

Southern Africa Innovation Support Programme (SAIS 2)

Cnr Louis Raymond and Grant Webster Street, Olympia

P O Box 9020, Eros, Windhoek

www.saisprogramme.org

Any further questions regarding the SAIS 2 Programme and the RE:innovation challenge call (CFP 2020/3) can be directed to info@saisprogramme.org.
Annexes

ANNEX 1 Indicative Evaluation Criteria
ANNEX 2 NCRST Code of Ethics
ANNEX 3 IPR Policy
# Annex 1
## Indicative Evaluation Criteria

<table>
<thead>
<tr>
<th>CRITERIA</th>
<th>WEIGHT</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Criterion 1 – Problem and Solution</strong></td>
<td>25</td>
</tr>
<tr>
<td>1. Is the problem and solution clearly stated?</td>
<td></td>
</tr>
<tr>
<td>2. Is the solution 4IR technology enabled? Is the proposed technology relevant to solve the problem?</td>
<td></td>
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<tr>
<td>3. Is the stage of development of the solution adequately described?</td>
<td></td>
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<tr>
<td>4. Does the applicant understand who their target market and beneficiaries are? Elaborate.</td>
<td></td>
</tr>
<tr>
<td>5. Is there realistic financing for the solution beyond SAIS 2?</td>
<td></td>
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<tr>
<td><strong>Criterion 2 – Project Workplan</strong></td>
<td>30</td>
</tr>
<tr>
<td>1. Are the project objectives SMART? (S – Specific, M – Measurable, A – Achievable, R – Relevant, T – Time-bound)</td>
<td></td>
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<tr>
<td>2. Is the approach/methodology of the project appropriate for successful implementation?</td>
<td></td>
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<tr>
<td>3. Can the activities and objectives be achieved in time and with the resources proposed?</td>
<td></td>
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<tr>
<td>4. Are the deliverables relevant and achievable?</td>
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<td>5. Are the roles and responsibilities of each partner stipulated in the project?</td>
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<tr>
<td>6. Are the risks and appropriate mitigations established?</td>
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</tr>
<tr>
<td><strong>Criterion 3 – Project Impact</strong></td>
<td>20</td>
</tr>
<tr>
<td>1. Does the proposed solution credibly contribute to building resilience of businesses and their chosen startup ecosystem?</td>
<td></td>
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<td>2. Can the impact be measured based on the metrics provided?</td>
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<td>3. Does the project contribute to the inclusion of women and gender equality?</td>
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<tr>
<td>4. Is the proposed solution likely to contribute to human rights protection? These protections can be related to civil, political, social, economic, and cultural rights.</td>
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<tr>
<td>5. Does the project contribute to any of the Sustainable Development Goals (SDGs)?</td>
<td></td>
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<tr>
<td><strong>Criterion 4 – Project and Consortium Data</strong></td>
<td>25</td>
</tr>
<tr>
<td>1. Does the project manager have the relevant qualifications and sufficient experience for project coordination and implementation?</td>
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<tr>
<td>2. Is the proposed budget realistic to implement the project?</td>
<td></td>
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<tr>
<td>3. What percentage of matching funding is in kind and in cash?</td>
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<tr>
<td><strong>Scoring Legend</strong></td>
<td></td>
</tr>
<tr>
<td>1 Poor: The application has significant weaknesses and the criteria are inadequately addressed.</td>
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<tr>
<td>2 Fair: The application addresses the criteria on a basic level, but a number of weaknesses are still to be addressed.</td>
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<tr>
<td>3 Good: The application addresses the criteria, with some weaknesses.</td>
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<tr>
<td>4 Excellent: The application addresses all the criteria in full with no immediate weaknesses.</td>
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<tr>
<td><strong>TOTAL</strong></td>
<td>100</td>
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# Annex 2

## NCRST Code of Ethics

<table>
<thead>
<tr>
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</tr>
<tr>
<td>VERSION NO</td>
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<tr>
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<tr>
<th>TITLE</th>
<th>CODE OF ETHICS POLICY</th>
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<tr>
<td>COMPILER</td>
<td>HEAD: LEGAL ADVICE AND COMPANY SECRETARIAT</td>
</tr>
<tr>
<td>AUTHORISED SIGNATORY</td>
<td>CHAIRPERSON: NCRST</td>
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</table>

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<tr>
<td>2. OBJECTIVES</td>
</tr>
<tr>
<td>3. NORMATIVE AND INFORMATIVE REFERENCES</td>
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<td>3.1 NORMATIVE</td>
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<td>3.2 INFORMATIVE</td>
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<tr>
<td>4. REVISION/AMMENDMENT HISTORY</td>
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DEFINITIONS

Code of Ethics: Is a guide of principles designed to help professionals conduct business honestly and with integrity in an organization and in dealing with the community, stakeholders and the environment.

Ethics: Moral principles

Principle: Is a comprehensive and fundamental rule or belief that can be used to lead and operate an organization.

Policy: General principles by which an organisation is guided in its management of public affairs, or the legislature in its measures.
1. POLICY STATEMENT

1.1 Commissioners, Management, Staff, and other representatives of the NCRST will acquaint themselves with the legal and ethical standards of conduct and restrictions applicable to their duties and responsibilities and will conduct themselves accordingly. Commissioners, Management, Staff, and other representatives of the NCRST are expected to observe the additional standards of personal and business ethics and conduct specified in this Policy and to conduct themselves in a manner that will not be an embarrassment or detriment to the Commission.

1.2 In support of this, the NCRST implements a practice based on principles contained in the Rules of Conduct policy procedure.

2. OBJECTIVES

2.1 To promote honest, truthful and ethical business conduct and to foster compliance with the letter and the spirit of all applicable laws by all employees of the NCRST.

2.2 The NCRST strives to further values based on behavior, engaging and relating, decision making and action in

Integrity: - adherence to moral and ethical principles; soundness of moral character; honesty;

Pro-activeness: - anticipatory, change-oriented and self-initiated behavior in situations, particularly in the workplace and;

Passion for Excellence: - Passion is defined intense emotion compelling, enthusiasm, or desire, in this case we have the passion to excel.

3. NORMATIVE AND INFORMATIVE REFERENCES

3.1 Normative

NCRST’s legal and governance framework.

3.2 Informative

None

4. REVISION/AMMENDMENT HISTORY

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<th>Version number</th>
<th>Revision Date</th>
<th>Nature of Amendment</th>
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Annex 3
IPR Guidance

Non-binding 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:

1. IP brought by the partner at the inception of the project (Background IP – prior art, technology, experience/ patents etc.)
2. IP co-discovered and contributed to during the project (Foreground IP)
3. IP created for a certain time reaching into the post collaboration period (Postground IP)
4. exploitation of IP during and at the end of the project
5. possible routes for commercialisation and technology transfer if applicable
6. 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/](http://www.adamsadams.com/index.php/africa/africaniplaw/).