Kwame Nkrumah University of Science and Technology, Kumasi

Proposal and Grant Award Acceptance and Registration POLICY

PROPOSAL AND GRANT AWARD ACCEPTANCE AND REGISTRATION
POLICY

KWAME NKRUMAH UNIVERSITY OF SCIENCE
AND TECHNOLOGY, KUMASI-GHANA
**QUALITY ASSURANCE AND
PLANNING UNIT**

Foreword

The Kwame Nkrumah University of Science and Technology, Kumasi has a mission to advance knowledge in science and technology through creating an environment for undertaking relevant research, quality teaching, entrepreneurship training and community engagement to improve the quality of life. In order to achieve this mission, there is the need to have Proposal and Grant Award Acceptance and Registration Policy.

The rationale of this policy is to guide the advancement of the research and innovation system through coordinating, facilitating and administering grant applications and award acceptance in the University.

The University is grateful to all those who ensured the initiation, development and approval of this Policy.

Professor K. Obiri-Danso
VICE-CHANCELLOR

Acknowledgement

As part of the strategic planning mandate of the Quality Assurance and Planning Unit (QAPU), university policies are initiated and proposed for approval by the Academic Board. The Unit in collaboration with the Office of Grants and Research (OGR) therefore initiated the Proposal and Grant Award Acceptance and Registration Policy and submitted for approval by the Academic Board.

QAPU is grateful to Prof. Robert C. Abaidoo and the entire staff of OGR for their enormous contributions leading the process of developing this policy. A special thanks goes to the Building Stronger Universities Project (BSUIII) for providing financial and technical support for developing grants related policies in the University including the Proposal and Grant Award Acceptance and Registration Policy.

Lastly, we wish to appreciate the work of the Review Committee and all staff of the University who contributed in several ways to the development and approval of this Policy.

Prof. Christian Agyare
HEAD, QAPU
JUNE, 2019

Official Copy Can Be Obtained From:
Telephone Number: 0322060319
E-mail: info.qapu@knust.edu.gh

TABLE OF CONTENTS

1.0 Background

1.1 Policy Rational

This policy specifically concerns grant applications, award acceptance and its execution in a professionally and financially responsible manner.

The rationale of the policy is to guide the advancement of the research and innovation system through coordinating, facilitating and administering grant applications and award acceptance in the University by ensuring that:

a. Institutional records of all its proposals and awards are up-to-date

b. The University's interests are protected

c. Information contained in proposals and awards is accurate and consistent

KNUST recognises the value of grants in driving its research and innovation efforts. It accepts and signs off all awards (agreements, grants and contracts, etc.) and is therefore obligated to ensure that the awards are executed efficiently and effectively to protect its image and further enhance its reputation. To this end, the fragmentation of information and differences in practice across the University necessitates a policy to facilitate the consolidation of all such information and harmonisation of practices for smooth running of the University.

1.2 Guiding Principles

The following principles derived from the core values shall guide this policy:

a. Excellence: To ensure that the university attains and maintains excellence in academic scholarship and service to society

b. Integrity: To ensure that all students and staff have the highest sense of integrity in all undertakings

c. Stewardship: This principle shall be adhered to for effective and efficient use of resources for higher productivity

The development of this policy is underpinned by the vision and core values of the university towards the realisation of the goal and specific objectives of the university's Strategic Plan with regards to grant applications. It is also intended to drive the research and innovation system of the university. The standards and processes spelt out in this policy will ensure sound practices within the university and enhance the good image of the university.

2.0 Scope

The policy is intended for the guidance of all staff who desire to accept and implement externally funded projects in the University.

3.0 Roles and Responsibilities

3.1 Proposals

The Office of Grants and Research (OGR), under the Vice-Chancellor's Office shall have the responsibility for coordinating research administration activities as well as information on all proposals and grants awards in the University.

3.1.1 Open Submissions

Open submissions refer to grant applications submitted by Principal Investigators (PIs) in response to a funding opportunity where an unlimited number of proposals can be submitted per institution. The following policy statements relate to open proposals:

1. All proposals must be registered and logged into the institutional database at the Office of Grants and Research and its satellites at the Colleges.

2. The OGR shall by registration facilitate and ensure that the proposals receive the University's endorsement before submission.

3. The OGR reviews research proposals and advises the Vice – Chancellor, accordingly and appropriately.

3.1.2 Limited Submissions

Limited Submissions refer to grant application calls where only a fixed number of applications or nominations will be accepted from a given institution. An internal selection process is required to determine which proposals will go forward. The following policy statements relate to limited submissions:

a. Principal Investigators (PIS) are required to inform the OGR of their intent to submit proposals. An internal selection procedure will be followed to ensure the selection of an appropriate and best proposal for submission.

b. In the case of follow-up funding calls, the PI and research team of the initial award will be given the first option to lead the current application:

   i. In the case of new funding calls, the disciplinary expertise required will be the determining factor in selecting a PI

   ii. In the case of new multidisciplinary funding calls, a committee shall be constituted to determine and select the most suitable PI and research team.

Some recommended key questions and factors to be considered in the selection of limited submissions proposals are as follows:

a. Is the proposal truly transformative to the proposed discipline(s)?

b. Is the proposal not redundant to, or significantly overlap with a Centre that is currently funded by the agency to which you are applying?

c. Has the PI developed significant and substantial interactions with key partners?

d. Has the PI justified why each of the partners is vital to the submission?

e. Is there a scientific, technical and intellectual merit of the proposal submission?

f. Does the PI have a history of interaction and/or a successful funding history with the specific agency to which they are applying?

g. Has the PI applied previously to the same programme; and does the subsequent submission address key deficiencies from the previous proposal?

h. Is the composition of the proposed team competitive?

i.   Does the proposal make a case for capacity building activities?

j.   Is the scope of the proposed work feasible, and does it respond to the key, essential components of the REP?

3.2 AWARDS

Awards are successful grant applications. The following statements relate to awards:

a.   All awards shall be negotiated and accepted by the Vice-Chancellor and/or authorised personnel.

b.   Principal Investigators (PIS) shall not accept research awards on behalf of the institution without due approval from the Vice – Chancellor and /or authorised personnel.

c.   All awards made to the institution through its staff must be registered and logged into the institutional database at the Office of Grants and Research and its satellite Grants Offices at the Colleges.

d.   The registration shall require key information on each award and it is the responsibility of the Principal Investigator (PI) or the equivalent to ensure that all due registrations are done and the institution has the requisite information on each award including all the award documents.

e.   The award documents will include the notification of the award, official agreement, scope of work, budget, any sub-contractual agreements, and other terms and conditions that govern the project.

f.   No disbursements shall be made by the PIS of project funds if the budget has not been loaded into the Grants Accounting Management System.

4.0 Implementation Mechanisms

4.1 Coordination of Research Administration Activities

The OGR under the Vice-Chancellor's Office with its various satellite units mandated to coordinate research administrative activities shall have the responsibility for coordinating proposal submissions and awards registration. It will play an active role in sensitising all stakeholders (research groups and units) about this policy and the need for adherence.

4.2 Monitoring, Evaluation and Review of the Policy

The implementation of this policy will be evaluated every five (5) years against performance measures that will include:

a. University's satisfaction

b. Granting institutions' satisfaction

c. Researcher satisfaction

d. Satisfaction of partners and other communities served by the University

The University's Performance indicators in these areas will be benchmarked internally and externally against international good practices. The Policy shall be eligible for review after every evaluation in line with other policies of the University.

4.3 Alignment with Other Policies

The Quality Assurance and Planning Unit shall be responsible for the monitoring of this policy to ensure that it is in alignment with other policies and strategies. Actions and strategies of this policy should not conflict with other policies of the University.

5.0 When Not Sure

One can use the following quick test to decide on actions to take with respect to all issues which have not been explicitly stated in this document:

a. Do I need the University to sign-off when the project is submitted?

b. Do I need the University to sign-off when the grant is awarded?

c. Do I need institutional information from the University?

d. How do I ensure the execution of the award projects in conformity with the University's core values?

e. Do I need to provide a list of my successful proposal and grants to KNUST for an internal evaluation processes?

6.0 DEFINITIONS

- Grants are non-repayable funds or products disbursed by one party (granting body/institution) often a Government Department, Corporation, Foundation or Trust, to a recipient, often (but not always) a non-profit entity, educational institution, business or an individual. In order to receive a grant, some form of "Grant Writing" often referred to as either a proposal or an application is required.

- Principal Investigator is the lead scientist for a particular well-defined science (or other research) project, such as a laboratory study or clinical trial. It is often used as a synonym for "head of the laboratory" or "research group leader", for a particular study.

- Award: Successful grant applications.