

Annexures

Annexure A: Management Plan Gantt Chart Template

Criterion	Description/explanation	Duration	
		Begin	End
<i>Administration</i>			
<ul style="list-style-type: none"> • Management of grant funds (management plan, claiming of funds, updating CV, submitting APRs promptly) • Access additional financial resources (as a provisioning tool for currency fluctuations and other ad hoc challenges) • Finalise building or renovation plans • Initiate and complete SCM processes, including tenders • Insurance • Required services and utilities including mandatory safety requirements if needed • Plans to attract other users and encourage access • Financial administration 			

(continued)

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Criterion	Description/explanation	Duration	
		Begin	End
<i>Equipment</i>			
<ul style="list-style-type: none"> • Testing of the capabilities of similar equipment, ideally from three different suppliers as per grant rules • Identification of the preferred supplier • Final detail specification of the equipment to be procured, designed or upgraded • Manufacturing of the equipment by the supplier • Installation of the equipment • Pre-testing of the equipment • Commissioning and final sign off of the equipment • Acquiring software licences for the equipment at the stage of final sign off of the equipment 			
<i>Physical infrastructure</i>			
<ul style="list-style-type: none"> • Renovate an existing building or construct a new building to house the equipment • Final check and approval of building specifications by supplier technician/engineer • Safety and security measures in place • Alternate energy supply • IT Infrastructure • Other 			
<i>Training</i>			
<ul style="list-style-type: none"> • Appointment of appropriately skilled instrument staff • Succession plan • Training for PI and staff members by supplier • Training workshops for students and other users • Other 			

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Criterion	Description/explanation	Duration	
		Begin	End
<i>Maintenance</i>			
<ul style="list-style-type: none"> • Preventative maintenance schedule defined with supplier of equipment • On-going maintenance and support • Replacement and upgrade of equipment (or its components) • Consumables management • Duration and terms linked to service level agreements and maintenance contracts • Other 			
<i>Access</i>		N/A	
<ul style="list-style-type: none"> • Define an access strategy that facilitates usage of the system which in turn allows for an income generating model to be in place • Costing model for accessing equipment <ul style="list-style-type: none"> – Researchers from the same institution – Academic Users academic and comprehensive universities as well as universities of technologies – Private Sector • Other 		N/A	
<i>Data management</i>			
<ul style="list-style-type: none"> • Data management strategy, that takes into consideration the following: <ul style="list-style-type: none"> – Data access policy – Data ethics – Disaster recovery model – Data storage and preservation – Data disposal 			

Annexure B: Implementation Framework for Risk Assessment (Kwak & Keheler, 2015)

This provides the guiding principles for the implementation of risk assessments, as described by Kwak and Keheler (2015) with some revisions and modifications. Here-with are a series of questions that can aid funding agency staff with the assessment of risk:

- Is the applying researcher a novice applicant?

- Is the applying researcher and the research institution at which they are employed high risk?
- Is a feasible budget proposed in the application that meets the requirements of the funding instrument? Does this budget make provision for currency fluctuations?
- Does the applying researcher have previous grants from the funding agency?
 - How did the researcher perform as a grant holder (refer to post-grant award phase)?
 - Did the grant holder draw down an excessive portion of the grant?
 - Are there any outstanding grant funds or project activities?
 - Have all required documents and reports been submitted?
 - Was the grant holder on schedule in terms of achieving objectives?
 - Was the grant cancelled or withheld due to non-compliance from the grant holder?
- Does the applying researcher have all necessary documentation attached to the application form?
- As part of the provisioning for awarding a grant the researcher must submit all the necessary supporting documentation prior to the grant being awarded.
- As part of the process for monitoring and evaluation of awarded grants in the post-grant award phase, performance against the following indicators needs to be tracked:
 - Programme-related indicators.
 - Management-related indicators.
 - Financial indicators.

Reference

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