THRIP Guide to Applicants for 2014/15 Funding
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Acronyms and Abbreviations

ARIC         Applied Research Innovation and Collaboration
BEE          Black Empowerment Enterprise
HEI          Higher Education Institution
IPR          Intellectual Property Right
MANCO        Management committee
MCDM         Multi-criteria decision model
MoA          Memorandum of Agreement
MTEF         Medium Term Expenditure Framework
NSI          National System of Innovation
PoE          Proof of Expenditure
PoP          Proof of payment
R&D          Research and Development
SCs          Science councils
SET          Science, Engineering and Technology
SMME         SMME    Small, Medium & Micro Enterprise
TIPTOP       Technology Innovation Promotion through the transfer of people
the dti      Department of Trade and Industry
THRIP        Technology and Human Resource Programme
1. Introduction and Background

The Technology and Human Resources Programme (THRIP) is a flagship research and development programme of the dti, managed by the NRF. This government-private sector partnership programme was established in response to the recognition of the shortage of high-level technical skills for industry and the need to improve the competitive edge of South Africa’s industry through the development of advanced technologies and highly skilled people.

THRIP was designed to enable South African industry to access specific responses to technological needs and to produce a flow of highly skilled researchers and technology managers who understand research, technology development and the diffusion of technology from the viewpoints of both industry and academia.

On the one hand, the programme is an integral part of the government’s strategy to intervene in opening up the economy, enhancing competitiveness, improving access to economic opportunities as well as facilitating geographic equity. On the other, it is a mechanism which provides high level training and education in the complex activities relating to technology development and diffusion.

THRIP is both a government intervention strategy in economic development and a mechanism to enhance education and training in the Science, Engineering and Technology (SET) fields, and remains an appropriate vehicle to address the challenges facing South Africa in respect of SET capacity, by promoting research in the diverse institutions responsible for sustaining the country’s economy.

2. Strategic Parameters

2.1 Vision

Knowledge-based internationally competitive South African Industries.

2.2 Mission

Levering collaborative partnerships on a cost-sharing basis, for research in science, engineering and technology, in order to provide technology solutions towards a competitive industry and to produce a flow of highly skilled researchers and technology managers for industry.

2.3 Objectives

a To contribute to the increase in the number and quality of people with appropriate skills in the development and management of research-based technology for industry.

b To promote increased interaction among researchers and technology managers in industry, universities and Science, Engineering and Technology Institutions (SETIs), with the aim of developing skills for the commercial exploitation of science and technology.

c To promote the mobility of people between industry on the one hand, and universities and SETIs on the other, with the aim of developing researchers and R&D managers.
d To stimulate industry and government to increase their investment in research, technology development, technology diffusion, and the promotion of innovation.
e To promote increased collaboration between large and small enterprises, universities and SETIs, by conducting R&D activities leading to technology transfer and product or process development.
f To promote thematic collaborative research and development projects within the National Industry Policy Framework.

2.4 Priorities

a To support an increase in the number of black and female students who intend to pursue technological and engineering careers.
b To promote technological know-how within the SMME sector, through the deployment of skills vested in universities and SETIs.
c To facilitate and support the enhancement of the competitiveness of BEE's through technology and human resources development.
d To facilitate and support multi-enterprise projects in which enterprises collaborate and share in the project outcomes, provided that one of the industrial partners involved, is a BEE.

3. Research and Innovation Grant

This is generally the most standard/common and core grant awarded through THRIP. It is awarded for a research project which will have been defined in a research proposal. It is within the proposal that the cost elements will be captured for assessment re their being THRIPable or non-THRIPable. The maximum level of THRIP funding per grant holder is R8 million across any number of projects, per annum. There is no minimum amount for a THRIP grant.

Additional special inclusions in a grant may be funding for Technology Innovation Promotion through the Transfer of People (TIPTOP) and for the cost for legal advice on the development of Intellectual Property Rights (IPR) agreement. These are explained below.

TIPTOP funding

TIPTOP is an incentive mechanism to encourage industry employees to further their studies while continuing their employment. It also encourages academia to obtain industry experience while still being involved in their research activities. The transfer of knowledge is facilitated through the physical relocation of participants between the organisations involved in the projects (from the HEI or SETI to the industrial laboratories and vice versa). THRIP will provide funding for academic researchers or students at postgraduate level in HEIs to work in industrial laboratories, for a maximum period of three years in a funding cycle. Reciprocally, THRIP will encourage and fund industrial researchers and technology managers to be temporarily seconded to a HEI/SETI to conduct research of direct relevance to the industry partner involved or related to their postgraduate studies.

THRIP will also support the placement of SET graduates in SMMEs. This support is exclusive to SMMEs in South Africa, and would enable the placement of graduates in SET-related disciplines within SMMEs on a contract basis for a fixed period, to a maximum of two years, to work on THRIP-approved research or technology development projects within the firms. Only individuals who have
graduated (either undergraduate or post-graduate degree/diploma) not more than five years prior to commencement of the contract, qualify for participation. It is not expected from the graduate to be enrolled for a higher degree.

The salary cost of the TIPTOP candidates is shared between THRIP and the enterprise involved.

Note the following rules applicable to TIPTOP:

• It has to be part of a funded THRIP project.
• A THRIP project may include one or more TIPTOP placements, to a maximum of five (5) TIPTOP placements per project.
• A THRIP grant-holder cannot be a TIPTOP candidate.
• THRIP will commit a TIPTOP amount as per the overall project funding ratio (see section 6.2 for information on the ratios).
• THRIP contribution will also be proportional to the amount of time (%) spent by the TIPTOP candidate on the project.
• The maximum annual shared package for a TIPTOP candidate is R300,000.00.
• The same rules apply when a TIPTOP placement is made at an enterprise abroad. In such cases however, the TIPTOP candidate is contractually obliged to be employed in South Africa directly after completion of the TIPTOP contract, for at least the same period as the TIPTOP contract.

IPR funding

• THRIP will consider providing financial support for the cost for legal advice on the development of an agreement on the treatment of intellectual property (IP), to an SMME or to a grant-holder based at an HEI. In the case of the HEI-based grant-holder this need not be matched by a contribution from an industrial partner but with the SMME it will be on a 50:50 cost-sharing basis with the SMME concerned. In both cases this will be a once-only (per project) grant to a maximum THRIP contribution of R10,000.00. The IP under consideration must be part of a THRIP project.
• The IPR budget items must form part of a THRIP application which is endorsed by the institution, with clear motivation for the value of legal assistance.

4. Funding Criteria and Rules

All projects, through the various mechanisms, must meet all these criteria in order to qualify for financial support from THRIP.

4.1 Nature of Projects Supported

• The project must be a high quality science, engineering and/or technology research project whose outputs could make a significant contribution towards improving the industry partner’s competitive edge.
• The project intention should be an innovation, i.e. should lead to the creation and transfer of new knowledge into a process or product (prototype), or the transfer of existing knowledge into a new process or product to benefit the industry partner.
• The project must have clearly defined scientific and technology outputs, plus human resource outputs expected for each year of support;
The causality (demonstrable output or outcome), implementation (the way in which the output/outcomes will be used by the industry partner) and additionality (the degree to which the research would not have been undertaken without THRIP) that will follow from THRIP support must be clearly articulated and be convincing.

In the case of first-time black applicants as grant-holders, the project will qualify even if no specific technology-related outputs are expected during the first year of support in Cycle 1.

### 4.2 Funding Formulae and Levels

**Table 1:** Funding ratios for research and innovation support and TIPTOP.

<table>
<thead>
<tr>
<th>INDUSTRY PARTNER(S)</th>
<th>Contribution Ratio</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>THRIP</td>
</tr>
<tr>
<td>Large company(ies) only OR Large companies that partnered with SMMEs OR Association comprising Large and or SMME members</td>
<td>1</td>
</tr>
<tr>
<td>All SMMEs OR Association comprising only SMME members</td>
<td>1</td>
</tr>
<tr>
<td>Black female grant-holder</td>
<td>1</td>
</tr>
<tr>
<td>All SMMEs and all BEE OR Association comprising only SMME &amp; BEE members</td>
<td>2</td>
</tr>
</tbody>
</table>

### 4.3 THRIPable Costs

**Note** that “THRIPable” costs refer to costs that may be covered or matched.

**Personnel**

- Technical/Research assistant remuneration.
- Specialist technical, scientific, consulting or contracting personnel (these people must not be employees of the HEI/SETI where the project is based or of the contributing industrial partner).
- TIPTOP.

Remuneration levels for support personnel are determined by the institution concerned, according to its own policies. It is the responsibility of the grant-holder and the institutions concerned to ensure that the relevant employment legislation is observed in making the appointment and that the appointee is informed on all matters pertaining to the appointment.

**Running Costs & Overheads**

- Overheads (THRIP plus Industrial partner’s contribution) up to a maximum of 10% of the total THRIPable budget (THRIP plus industry). Overheads refers to those incurred on the THRIP project. (e.g. printing, fax, telephone).
- Accommodation.
- Materials/Consumables.
Local Travel
- A motivation is needed where more than R5,000 is requested (THRIP plus industry). This motivation should present the purpose of the travel and the importance and potential benefit of the travel engagements to the project.

Local Conferences
- Only if presenting a paper and should not constitute more than 3% of the total THRIPable budget (THRIP plus industry).

International Travel
- Attending workshops, conferences and visiting experts and/or centres of specialization which are essential for the project.
- A detailed motivation is needed, which presents the purpose of the travel and the importance and potential benefit of the travel engagements to the project.

Equipment
- The equipment must become the property and responsibility of the HEI/SETI which receives the grant and be available to that institution in general, in consultation with the grant-holder.
- Where it is more practical for the equipment to be located at another HEI/SETI, the parties concerned should include with the proposal, a signed agreement stating that the equipment will be re-located to the institution within the project duration period as specified in the proposal.
- An equipment management plan must be submitted for all equipment valued at R500,000 or more.

Registration of Patents
- Cost for registration of patents.

Bursaries
- Students participating in THRIP projects can be granted bursaries from the THRIP contribution. These should be Grant holder linked with the following amounts: R100,000 for PhD, R70,000 for Masters, and R40,000 for Honours/B-Tech/Fourth Year. The bursary should be granted for the duration of the studies (i.e 3 year for PhD, 2 years for Masters, and 1 year for Honours/BTech/Fourth Year
- The industry bursary amount may leverage THRIP funds provided the contributing partner is also investing at least 10% financially on the project.

Legal Costs
- THRIP will consider supporting the cost for legal advice on the development of an agreement on the treatment of Intellectual Property Rights (IPR), to an SMME, and/or a THRIP grant-holder based at an HEI/SC.
- For this purpose, each grant-holder at an HEI/SC qualifies for a once-off (per project and per piece of intellectual property) contribution, to a maximum THRIP contribution of R10,000.00. This contribution need not be matched by a contribution of an industrial partner. Similarly a SMME qualifies for a once-off (per project and per piece of intellectual property) contribution from THRIP, to a maximum of R10,000.00.
4.4 Some Non-THRIPable Costs

- VAT - All budget items must exclude VAT;
- Rental of facilities of the HEI or SETI;
- Journal/Literature subscription fees;
- Professional organization subscription fees;
- In-kind contribution;
- Contributions from companies owned wholly or partly (≥5%) by the HEI/SETI receiving the grant;
- Contributions from companies in which the grant-holder, or his/her team members, or their respective immediate family members, own ≥5% of the shares.
- Remuneration for permanent staff of the HEI/SETI receiving the grant;
- Services and/or products (including salary costs) provided by the project’s industrial partners and their shareholders and/or employees (except through TIPTOP):

4.5 Funding Period

Funding is in principle approved for the duration of the project (to a maximum of three (3) years, also referred to as a funding cycle) as presented in the originally approved project proposal, subject to:

- The availability of funds;
- That all agreed “THRIP Conditions of Grant” are met;
- The submission of a complete and satisfactory annual progress report, specifically addressing the deliverables as indicated in the application work-plan and budget;
- Progress made to the satisfaction of the industrial partner/s; and
- The submission of Proof of Expenditure to the satisfaction of THRIP.

Many projects require several cycles of funding to deliver their full potential. Project proposals and annual reports are judged appropriately for the cycle of funding that is being requested.

As a project moves through the research life-cycles, other new projects may be initiated from ideas stemming from the initial project. These then start a new cycle of research investment. A project retains its title throughout the cycles of investment. Projects are not necessarily funded for multiple cycles.
4.6 Multiple Grants within NRF

A THRIP grant may be held concurrently with other grants in the NRF provided that:
- The respective funds (THRIP and other) are not received/held for the same costs, which would amount to “double-dipping”.
- The application for or receipt of the other grant(s) is declared in the THRIP proposal.

4.7 Institutions that are Eligible to Apply

Every funded THRIP project will have at least one South African research institution as recipient of funding and one industrial partner providing matching funds to THRIP’s contribution.

4.7.1 Participating Institutions that may Receive Funding

The identification of the institutions that may receive funding from THRIP is guided by the “Notice of Intention to Declare Research Institutions” (Notice 860 of 2012), appearing in the Government Gazette of the South African Government, dated 26 October 2012.

Higher Education Institutions
All South African public (as opposed to ‘private’) HEIs may receive funding from THRIP.

Science Councils
Science councils (SCs) whose legislative mandates generally centred around performance and promotion of research and of technology innovation and transfer can also receive THRIP funding. These will however have to be working in collaboration with one or more HEIs on the project. This approach is aimed at mobilizing the vast skills base in Science Engineering and Technology (SET) disciplines residing within these SCs, in the training and development of human resources and technology development through industry-prioritised collaborative research involving SCs, HEIs and industry.

National Research Facilities
This refers to national research facilities (NFs) of the NRF declared by the Minister in terms of section 5(1) of the NRF Act. The participation modality and rationale for the NFs is similar to that for the SCs.

Research-performing museums
This refers to research-performing museums declared as such under the Cultural Institutions Act (Act No. 119 of 1998). The participation modality and rationale for the NFs is similar to that for the SCs.

Other science, engineering and technology research institutions
Other research, engineering and technology institutions that do not fall into any of the above groups will be considered on a case-by-case basis and be declared as a research institution that is or is not eligible for receiving THRIP funding. This exercise will be conducted once and the THRIP status of the particular institution will hold permanently unless circumstances change in a manner that necessitates a review of the position.

Industry partners special cases
THRIP is generally about providing matching funds (matching industry partners’ contributions) to researchers at research institutions. There is an exception however, where THRIP funds can be transferred to the industry partner through a Research Institution. This is in specific cases for THRIP’s TIPTOP contribution (see TIPTOP mechanisms details for specific cases where this can happen).

4.7.2 Participating Institutions whose Contributions may be Matched

Participating institutions/organisations whose funding may be matched are generally referred to as “industry partners” in the THRIP context or language. Every THRIP project must have at least one industry partner.

Criteria defining eligibility of industry partners
- Must be committing to or making a financial contribution to the project.
- Typically is a registered enterprise but may also be an association.
- Must be South African or at least having a legal presence in South Africa.
- In the case of the South African registered enterprises these may be from the private sector or they may be parastatals. Approval by the dti for participation by parastatals must be sought before THRIP matching funds are provided. Such approval only has to be secured once. This is generally in the interest of optimising inter-departmental cooperation and synergies.
- Non-South-African industry partners without a legal presence in South Africa may also participate as industry partners but this group may leverage THRIP matching funds to a maximum of 15% of the THRIP grants budget. Projects with such foreign enterprises should preferably include local enterprises (enterprises with a legal presence in South Africa). If no local enterprises are involved in the project, the project plan should clearly state the potential benefit of the project for South Africa. The limit of 15% can be exceeded only where/when there remains unallocated funds after all local enterprise-based projects have been assessed and provided the funding they qualify for.
- There must be a clear indication that the project will directly benefit the specific company.

The following are key roles, responsibilities and/or expectations of the industrial partner in the context of the projects to be or being co-funded:
- They will confirm or reject applications (online) that have them listed as industrial partners.
- They will confirm that the technology and/or human resources outputs of the project will directly benefit them.
- They will communicate their financial commitment to the project through the online application submission process.
- They will submit an online evaluation of the reported progress as stated in the annual progress report submitted by the grant-holder. Where there is more than one industrial partner to a project, at least 50% of the industry partners must comment on the reported progress as stated in the annual report.

**Types of Enterprises**

**Large Enterprises vs Small, Medium & Micro Enterprises (SMMEs)**
Industry support instruments of the South African Government promote enterprise development whilst at the same time putting extra measures in place to especially assist SMMEs in accessing these instruments. This phenomenon is global and is partly grounded on the fact that SMMEs: are generally not adequately resourced to access these instruments; tend to create more jobs; and technology-based SMMEs are more inclined to innovate. The Table below presents the criteria for categorisation of industry partners as SMMEs.
Table 1: Criteria for categorisation of industry partners as SMMEs (sourced from the Government Gazettee, Act No. 26, 2003)

<table>
<thead>
<tr>
<th>Sector</th>
<th>Parameters &amp; Max. Values to be SMME</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Size of class</td>
</tr>
<tr>
<td>Agriculture</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Mining &amp; Quarrying</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Manufacturing</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Electricity, Gas &amp; Water</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Construction</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Retail &amp; Motor Trade &amp; Repair Services</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Wholesale Trade, Commercial Agents &amp; Allied Services</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Catering, Accommodation &amp; other Trade</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
</tr>
<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Transport, Storage &amp; Communication</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
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<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Finance &amp; Business Services</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
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<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
<tr>
<td>Community, Social &amp; Personal Services</td>
<td>Medium</td>
</tr>
<tr>
<td></td>
<td>Small</td>
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<tr>
<td></td>
<td>Very Small</td>
</tr>
<tr>
<td></td>
<td>Micro</td>
</tr>
</tbody>
</table>

4.8 Participants / Role-players / Beneficiaries

Grant-holders
Every project funded through THRIP will have a grant-holder who:
• Must have an employment contract with the HEI or SETI, which includes responsibility for covering their salary. The duration of the contract must be equal to or more than the period of the THRIP project.
• Must have the appropriate qualifications and experience to lead the project and to train students up to postgraduate level.
• Cannot be a student on any THRIP project at the same time as being a Grant-holder.
• If based at a government SETI, must be training student(s) enrolled at an HEI(s) and the project proposal must clearly demonstrate the participation and training of such student(s).
• Will use the THRIP Guide and Multi-Criteria Decision Model (MCDM) to assist in preparing a THRIP proposal.
• Is responsible for registering and applying online through the NRF submission system.
• Submits the online application for the industry partner to complete his/her section.

Students
• At least one registered South African student at 4th year level of study or higher, in the SET fields, must be involved and trained through the research per R200,000 of THRIP investment.
• In the case of non-South African students involved in the THRIP project, a maximum amount of R85,000 per student will be provided for the project.

Research Administrator
The institution’s research administrator is responsible for:
• Validating all online applications before submission to THRIP; and
• Ensuring that the industry partner has informed the NRF of support/rejection, and that the grant-holder is informed accordingly.

Projects Oversight Structures
Active joint management of a project by both the industrial and HEI/SETI partners is strongly encouraged. THRIP recognises though that this may differ from case to case depending on magnitude of projects, participants and funding as well as complexity of the projects.

4.9 Intellectual Property Arrangements
• Arrangement for the ownership and exploitation of intellectual property arising from a project must be agreed upon between the HEI/SETI and industrial partner(s), prior to commencement of the project. Except funding for the IPR, no other funding will flow unless an agreement on IPR arrangements is in place.
• Publication of any research results must not be restricted for more than two years after the project’s scheduled completion date.
• Intellectual Property generated by THRIP-funded research must be appropriately protected and exploited, in a manner that is compliant to the Intellectual Property Rights from Publicly Financed Research and Development Act, (Act No. 51 of 2008) (“the IPR Act”).
• The THRIP offices at the NRF should be informed of any patents pending or secured, arising from THRIP projects, as part of the normal reporting.
4.10 Communication & Acknowledgement

NRF or the dti communicating about the projects
When projects are funded, the NRF and the dti cannot be prohibited from communicating matters and information pertaining to the Project, to other participants in the Project and to the public, excepting where such communication may compromise protection of intellectual property and this danger has been communicated to the NRF.

Beneficiaries acknowledging support
- A grant-holder is responsible for ensuring that an acknowledgement of THRIP support is made in any publication emanating from funded projects.
- THRIP support must also be acknowledged appropriately in any media communications on a funded project.
- In acknowledging THRIP support, appropriate use of the THRIP logo(s) according to the current branding policy of the NRF must be observed.

4.11 Managing the Finances

- Grant-holders are expected to spend their allocated funds within the allocated financial year, and within the specifications of the submitted budget, in the most effective and efficient way.
- Financing by one party should not be restricted by the financing conditions of other parties but should be supplementary to each other for the attainment of the objectives of THRIP.
- THRIP funds must not pass to the industrial partner involved in a THRIP project, except in the case of TIPTOP.
- It is expected that grants forwarded to the research institutions will be administered according to the financial policy of the institution concerned and that the institution will ensure observation of the appropriate tax legislation.
- External auditors’ reports in the prescribed format verifying the figures contained in the financial reports have to be submitted to the NRF by 30 April and 30 June 2015 for universities and SCs respectively. Other institutions will be slotted into one of these deadlines according to their financial processing cycles. Should the organization fail to submit this audited report all payments from the NRF may cease until it has been received.

4.12 Submission of Reports

All reports must be completed satisfactorily according to THRIP evaluation requirements, processes and standards and submitted to the NRF via the institution’s research administration office.

4.13 Disclaimer

Any opinions, findings and conclusions or recommendations expressed in any publication generated through THRIP-supported research, are those of the author(s) and therefore the NRF/THRIP will not accept any liability in that regard.
4.14 Compliance and Research Ethics

The institution(s) where the project is based, and the grant-holder, have the following responsibilities with regard to compliance and ethics:

- Ensuring that the highest ethical, environmental and safety standards are observed when conducting research, particularly when human and animal subjects are involved.
- Ensuring that the grant funds are not used to promote or engage in violence, terrorism, bigotry or the destruction of any State property.
- Ensuring that in conducting the research there is full compliance with all relevant legislation (including the “Intellectual Property Rights from Publicly Financed Research and Development Act, 2008” (Act 51 of 2008) (“IPR Act”)), policies (including those laid down by the institution concerned) and conditions of grant.

4.15 Breach

Conditions of grant should include a breach statement which at least conveys the following:

- Should the Grant-holder fail to meet any of their material obligations in terms of the Conditions of Grant, and fail to remedy the breach within a reasonable period from the date of receipt of a written notice from the NRF or the Institution calling upon them to remedy such breach, the NRF/THRIP shall be entitled to halt all Grant transfers to the Institution relating to the grant concerned, until the breach has been remedied to the satisfaction of the NRF/THRIP.
- Should the Grant-holder fail to remedy the breach within a specified period of the halting of the transfers of grants, the NRF/THRIP will be entitled to recover all or part of the funds transferred to the Institution in respect of this grant. The precise portion to be recovered will be calculated depending on the nature of the breach.

4.16 Access to Participants

The NRF and/or the dti, or any of its appropriately authorized representatives, will be allowed access to any of the participants in the THRIP project. Where and when this is necessary, it will be done in consultation with the Grant-holder or Designated Authority from the institution concerned and due consideration will be given to time and logistics for this to happen.

5. Processing of Proposals and Grants
(Proposals for 2014/15 funding)

5.1 Submission of Proposal

- In response to the call, applicants submit their applications through the NRF Online Submission System. (Note that before an individual can apply for a grant they should be registered on the NRF Online Submission System).
- The applicant is responsible for completing the application form and submitting it to the institution’s assigned authority in their research administration, for submission to the NRF.
• The applicant is also responsible for facilitating and ensuring that the industry partner section of the application form is completed. In this form the industry partner(s) endorse the application, commit to co-funding it and indicate their anticipated benefit from the proposed project.

• The Designated Authority (DA) in the research administration of the institution validates the application (electronically in the case of the NRF Online System). The validation should be done only after the industry partners have accepted and approved the application. The application is only acceptable to the NRF after the Designated Authority has signed-off on it. This is intended as an indication that the institution is aware of the application and assures the quality of the application. After the Designated Authority validates the application, the detail on the application form cannot be changed. If the application is incomplete or inaccurate the Designated Authority can open the application again for the applicant to add the information. The application is then re-submitted to the NRF.

• In the case of “continuation projects” (i.e. projects in their 2nd or 3rd year of support, where funding approval for 2 years or 3 years was communicated up-front), re-submission of a proposal is not required. If for some reason they request the opportunity to update their proposal, they will be provided the opportunity to do so. In the case of these continuation projects, consideration of confirmation of continuation of support will be evaluated on the basis of:
  ▪ Reflection on the original proposal to recall the undertakings made then, as well as review of the revised application if this is done, to consider changes.
  ▪ Satisfactory progress as judged from the Progress/Annual Report; and;
  ▪ A submission from the industry partner(s) confirming that progress has been satisfactory and a re-commitment for further matching funds for the continuation year(s).

Screening of proposals
This tends to be an iterative process between the NRF and the institution.
  • NRF screens the submitted and validated applications primarily for completeness, correctness and/or whether submission has been made to the appropriate programme.
  • Where necessary and appropriate, the NRF will enable and invite applicants to attend to the application deficiencies that need attention.
  • The applicant will attend to the deficiencies and re-submit.
  • At this stage applications may be rejected if for example they do not meet certain minimum requirements. If this were to happen GMSA will provide the report approved by ED-GMSA, to ARIC and RE, stipulating reasons for the rejected applications.

5.2 Panel Reviews
(Oct 2013)

Composition of Review Panels
The credibility and quality of the review process depends on the integrity, expertise and experience of the reviewers. Review panels will be constituted based on directed and thematic areas identified for a call for
THRIP applications. Reviewers will be appropriately allocated to panels based on their area of expertise, and RE will consult with ARIC on the development of a database for panel reviewers, chairs, and assessors.

The composition of the review panels will ideally reflect the race and gender diversity of the South African research community and the institutional diversity of the universities and research institutions.

Each panel will consist of the following participants:

- An external Chairperson;
- An independent Assessor;
- Discipline-based Reviewers;
- An NRF Grant Director
- An NRF Programme Director;
- NRF Secretariat
- A Scribe

**Reviewers**

Reviewers will be individuals from broad disciplines covering the directed and thematic areas identified for a call for THRIP applications. Reviewers must have extensive research and/or research management experience and have an understanding of the South African Higher Education System (HES) and NSI. Furthermore, they will be individuals with no direct association with any of the proposals for which he/she is serving as a reviewer.

### 5.3 Peer review process

The NRF will coordinate and lead the peer review process. Reviewers will be nominated from HEIs, research institutions and industry. The Multi Criteria Decision Making Model (MCDM) and the score card will be used when reviewing applications (see Annexures 1). Successful applications will be subjected to the process of ranking in terms of criteria (and sub-criteria) that reflect the objectives, priorities and focus of THRIP.

### 5.4 Deciding on Funding

(Nov 2013 - proposals for funding for 2014/15)

The practice of allocation, release, payment and re-allocation of THRIP funds has been radically revised as of 2014/15, effectively implementing the “First-Come-First-Serve” principle. The reasons for going this route are the many problems experienced by THRIP which impacted negatively on expenditure levels and cash-flow which can be more specifically interpreted from the objectives of the practice, which are the following:

a) Prevent “freezing” of funds within project allocations, which may never be taken up within the financial year concerned;

b) Early-enough redeployment of freed-up funds to projects where there is capacity to use the funds, within the project qualifying amount and purpose.

c) Distribute expenditure/cashflow more evenly across the financial year.
d) Achieve 100% expenditure of available budget. You are referred to the illustration in Annexure 2 to get a visual sense of how the First-Come-First-Serve will work and the specific implementation is effectively inserted into the relevant parts of some of the sections that follow.

Funding decisions will be made, guided by:
- Panel recommendations;
- Available budget
- Scores and ranking as per the MCDM;
- Consequences of decisions to fund vis a vis policy, strategic objectives, priorities, focus and targets for THRIP.

There will be 2 values allocated against individual applications, namely:
- Full qualifying amount which collectively may exceed the available THRIP budget (thus an “over-allocation” from a THRIP perspective); and
- Cut amount which will be the amounts reduced to fit the available THRIP budget.

5.5 Communicating and effecting decisions

(December 2013)

- Once decisions are finalised, NRF communicates funding decisions (full qualifying and cut amounts) to the institutions’ research administrators by e-mail, including reference to the fact that payment processing will be according to the first-come-first-serve practice.
- In parallel, the applications on the system are progressed to approval (at the cut amount values) or regret stage.
- In the case of approvals, the corresponding grant award is created on the system and an award letter reflecting the full qualifying and cut amounts is generated and forwarded to the applicant, and copied to the respective Research Administration office and industrial partners, accompanied by Conditions of Grant which include reference to the fact that funding provision will be subject to the first-come-first-serve practice.
- In the case of regrets, regret letters are generated and forwarded to the applicants, and copied to the respective Research Administration office and industrial partners.

5.6 Returning CoGs, providing PoPs & nominating students

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>CoG</td>
<td>31 Jan 2014</td>
</tr>
<tr>
<td>PoP</td>
<td>01 Jan 2014 to 10th Feb 2015</td>
</tr>
<tr>
<td>Nomination of students</td>
<td>15 Dec 2013 to 28 Feb 2014</td>
</tr>
</tbody>
</table>

Before grants can be activated for payment (“released”), the successful applicants must:
- Return the completed and signed Conditions of Grant, as a statement of accepting the conditions linked to the grant. In the case of continuation projects, this is not required except where there is a necessary and
obligatory revision to the Condition of Grant since the one last signed for the project concerned.

ii) Submit Proof of Payment (PoP) of the industry partners’ contributions as soon as these are available. This will generally be an appropriate and appropriately authorised record of proof of transaction of the industry partners’ financial contribution for the project.

iii) Capture the student details for students linked to the project (“nominate students”). This is critical as it is the only manner in which NRF captures students supported through its programmes to enable extraction of student data of acceptable integrity.

5.7 Beginning research

(01 Jan 2014 for funding in 2014/15)

Technically, once the award letter has been issued and the Conditions of Grant submitted to the NRF, the researcher is authorised to incur the approved expenses, i.e. begin the research, to a maximum of the cut amount. The Grant Deposit at the institution should be used from 05 Jan to 31 March to assist with cash-flow, as the grant funding from THRIP will be paid from 01 April.

5.8 Releasing grants

(Mar 2014 – 10 Feb 2015 For Funding in 2014/15)

After funds have been awarded, they will be released and paid to the institution, per the First-Come-First-Serve rules and process (see Annexure 2) in order for the institution to really spend the funds. The key thing to be aware of in this regard is that:

- **Up to 30th June** (Cut amount reserved for all):
  - Cut amount is reserved and guaranteed and can be disbursed on receipt of PoP.
  - The cut amount is also the maximum available to the project.

- **Between 1st July and 31st December** (Cut amount balance reserved for some, up to qualifying amount available for all):
  - Projects that have PoP-ed at least 50% of their cut amount:
    - The balance of their cut amount will be reserved for PoP-based releasing; and
    - Will be allowed to continue PoP-based releasing beyond the cut amount but to a maximum of the full qualifying amount.
  - Projects that have PoP-ed less than 50% of their cut amount:
    - The default is that no more funds beyond the PoP-ed amount will be reserved for these, i.e. they lose their un-PoP-ed portion into the pool of available (to themselves too) funds.
    - The exception to the above will be where a letter from the industry partner confirms that payment of the balance of the un-PoP-ed cut amount (or part thereof) will be made by no later than 15th February 2014. In such case the matching amount will be reserved.
    - Can continue to PoP their unPoP-ed balance, to a maximum of the full qualifying amount.

- **Between 1st January 2015 and 15th February 2015** (Only PoE-ed amounts reserved, i.e period for submission and payments of claims):
Accepting PoPs in this period will be done through a motivation approved by the Executive Director: ARIC.

- **Between 15th February and 28 February 2015:**
  - Any released (PoP-ed) but unPoE-ed funds will be “recovered”

Note that the outer financial boundaries of the first-come-first-serve practice will always be the budget available to THRIP.

Institutional Financial Officers are able, and are encouraged, to enter PoEs online regularly. The relevant proportion of the awarded THRIP funds will be released and paid under the following conditions:

- The completed and signed “Conditions of Grant” has been submitted;
- Students have been nominated through the NRF online nomination process and proof of their registration has been provided;
- Institutional audit reports as well as any other THRIP reports that are due from the Grant-holder have been submitted and accepted by the NRF.
- Appropriately authorised proof of contribution (PoC) from industry partner has been submitted. This may comprise:
  - Proof of Payments (PoP) (e.g. institutional receipt or a bank transaction record);
  - Proof of Relocations (PoR) for TIPTOP; or
  - Bursary Claim Form from the industry partner.

The PoC must be accompanied by a statement from the relevant financial authority of the HEI/SC certifying that the applicable industry contribution was (or is to be) used for the project concerned.

PoCs against a THRIP grant for a specific THRIP financial year will be accepted until 10 February 2015 of the same financial year. The valid window period for PoPs against grants in 2014/15 is from 01 January 2013 to 10 February 2015.

- The amount to be released will be calculated on the basis of the value of the PoP and the funding ratio approved.
- In the case of THRIPs TIPTOP contribution, the industrial partner must have already paid in an amount equal to at least 10% of THRIP's financial commitment to the project before the TIPTOP contribution is released.

### 5.9 Paying grants

Note that HEIs and SCs that have had grants awarded to them, receive an annual grant deposit to assist them with cash flow issues particularly in the gap period (3 months) between the beginning of the calendar year (January, which is when the HEIs & some SCs begin annual business cycle) and NRF’s financial year (April).

Released funds will be paid to the institution.

#### 5.9.1 Triggering payments

(01 April 2014 – 15 Feb 2015 - For Funding in 2014/15)

The triggering of this payment can only take place when the funds have been released by NRF (see above) and are an enabler for the payment transaction by NRF (see below).
Payment transactions of released funds take place only on submission of PoE. The objective of doing it this way is to put institutions under pressure to submit PoEs, an exercise which tends to be neglected.

Grant-holders are encouraged to claim funds as early as possible to improve timely expenditure rates and cash-flow for THRIP (refer “First-Come-First-Serve” above and in Annexure 2).

5.9.2 Paying Legal/IP fees

Legal/IPR fees can be claimed online and paid similarly to other type of grant expense.

5.9.3 Securing PoEs

(01 April 2014 – 15 Feb 2015 for Funding in 2014/15)

PoEs are submitted online after the grant funds have been released. This is an online process which also requires validation by the DA. This essentially amounts to accounting for the expenditure. The target must be to receive 100% of PoEs for the released funds as early as possible but by no later than 15 Feb 2015 for the portion of funds that may still be available to the project.

5.10 Re-allocating Freed-up Funds

(June 2014 to Dec 2014 For Funding in 2014/15)

Re-allocation is an exercise that will be run actively and continuously on the “First-Come-First-Serve” principle and practice captured further up and illustrated in Appendix 2.

6. Appeals

6.1 Submitting Appeals

(15 Dec 2013 - 15 Jan 2014 For Funding in 2014/15)

Unsuccessful applicants will be allowed to submit appeals within a period of two weeks after having received communication on funding decisions, should they choose to appeal. The information on how to appeal will be communicated when sending communication informing unsuccessful applicants about the outcomes of assessing proposals. The feedback on appeals will be given to the institutions within a period of a month on submission of the appeal.

7. Monitoring and Reporting at Project Level

7.1 Annual Progress Reports
The grant-holder is responsible for:
- Reporting progress using the NRF Online system; and
- Ensuring that the industry partner submits the evaluation of progress.

The research administrator is responsible for:
- Validating all online reports.

7.2 Financial and Audit Reports

Projects’ financial reporting of actual expenditure is communicated between the NRF and HEI/SETI finance sections. The final financial report, which presents expenditure incurred up to 31 March 2015, must be submitted by the appropriate authority of the institution concerned, by 30 April 2015.

The amounts claimed in total may not exceed the total amount released. The NRF will provide details on the format of financial reports to the organizations concerned, who should submit the report either on a document provided by the NRF or directly into the NRF grants administration system via its computer network in cases where such a facility exists.

The NRF requires every institution receiving grants from the NRF to annually submit an independent audit report of a sample of audited projects on the expenditure of grant funding received by the institution. THRIP is included in this exercise. Details of the process are defined in a separate document (Audit Guidelines for All NRF Awards).

It will be required from time to time that grant-holders and the appropriate institution allow NRF/THRIP-appointed auditors access to records related to THRIP grants, in order to conduct audits.

7.3 Technical Audit Reports

Once a year THRIP engages in a Technical Audit of randomly selected THRIP projects supported by the programme. The purpose of the audit is primarily to:
- Witness some of the outcomes (technology, human resources, publications, etc.) as was expected through the project proposal and/or reported in the Progress Report;
- Witness the facilities and equipment supported through THRIP, and
- Interact with grant-holders, team members, students and industrial partners involved in THRIP projects.

Generally the Technical Audit team will comprise at least one representative from each of the NRF, the dti and a THRIP technical advisor. Due notice is given of the intention to visit and each visit is typically two to three hours long. A grant holder and the industry partner representative must be present when the Technical Audits are being conducted.
7.4 Final Reports

At the end of the final year of the Research Proposal a Final Report is submitted instead of the Annual Progress Report. In addition to addressing the outputs for the last year of funding, this report also addresses the outputs and impacts of the project for the duration for which it was supported. This report should be received by the NRF within 3 months after the end of the 3 years of support.

7.5 Other Reports

Grant-holders may be requested to report in other formats. Where this is necessary due consideration will be given to time and cost.

8. Changes

The THRIP management, through the NRF, reserve the right to change the terms of THRIP support where and when necessary. If this were to happen however, due consideration will be given to possible implications of the actions, and the change intention or decision will be communicated to the grant-holder and relevant authority in the research institution. A need to change could typically be influenced by:

- Availability of funds;
- Failure by the other partner/s in the THRIP project to honour agreements; and
- Changes in circumstances.

Grant-holders may also request changes to the project. These will be considered, decided and communicated to the grant-holder by the NRF. In deciding these changes the NRF will ensure that the relevant internal (to the NRF) affected parties and authorities are appropriately consulted. The need to effect changes in the project plan could for example be influenced by changes in circumstances such as resources or participants.

Should the grant holder leave the institutions, it is at the discretion of the institution to allow the grant holder to leave with part or all sections of the project.
Annexure 1A: Details for the application of the MCDM in evaluating THRIP project proposals.

The MCDM is a project proposal assessment tool designed primarily on the basis of the programme objectives, priorities and criteria. The assessment process entails 2 stages. The first stage is exclusionary where projects must pass “hurdles” and may be judged “not fundable” if any hurdle is failed. The second stage is a merit-based assessment that scores projects in terms of objectives, priorities and focus of the programme. The level of funding, or a decision not to fund, is based firstly on the “hurdles” and secondly on the MCDM score. Not all “fundable” projects are necessarily funded.

New projects are assessed by a panel of researchers and practitioners who grade projects according to the parameters in the MCDM and award scores up to a maximum for each criterion. The highest possible score for a proposal is 1,040.

The panel adjudication of projects strongly guides the THRIP management team and the final decisions are made by the THRIP Management Committee.

A3A-1: Clearing the hurdles.

A hurdle is the minimum requirement for a project proposal to be considered for THRIP funding. ALL hurdles must be passed for the project to be considered for funding. The exception is in the case of a first-time application from a black applicant. In this case he/she may be excluded from the requirement to produce technology-related outputs (refer hurdle iv) during the first year of support in Cycle 1 of supported research.

There are 7 hurdles:

i. Improved competitiveness of South African industry
   The project must be a high quality science, engineering and/or technology research project whose outputs are likely to make a significant contribution towards improving the capacity of the industry partner to improve the competitive edge of South African industry.

ii. Innovation and technology transfer
   The project proposal must demonstrate that new knowledge will be created or that existing knowledge may be applied by the industry partner and/or industry sector to introduce a new process or a new product as a result of the research.

iii. Prototype development
   The project proposal must demonstrate that the project outcome will be a product, process, procedure, model or technique that will benefit the industry partner.

iv. Defined scientific and technological merit and outputs
   The project proposal must demonstrate appropriate, high quality science, engineering and/or technology research methods and approaches. These should be provided at a level of detail enabling a specialist to evaluate quality.
v. Benefits to South Africa (in case of a contributing foreign company whose funding is to be matched by THRIP)

The project proposal must demonstrate how SA will benefit if the technology is developed for a foreign company.

vi. Additionality

In the case of large industry partners, the project proposal must identify those research activities that will not occur without THRIP funding. The benefits to the industry partner must be clearly demonstrated.

vii. Causality and Implementation

In the case of large industry partners, the project proposal must:

- Demonstrate what benefits are CAUSED by the THRIP investment (e.g. technology outputs (product, process, procedure, model or technique) or research outcomes (technical reports, research papers, student graduation, skills development); and
- Present plan for the implementation of research outcomes to the benefit of the industry partner(s) and/or the industry sector.

A3A-2: - Scoring and ranking.

The project proposal is judged and scored using the MCDM scoring system and template. Below are descriptions of the scoring parameters and scenarios linked to allocation of scores.

<table>
<thead>
<tr>
<th>Criteria, Sub-criteria &amp; Scenarios</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td>I PROJECT CHARACTERISTICS</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I.1 Alignment to the dti priorities (for job creation and commercial and investment potential)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.1 the dti growth and sector alignment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Explanation</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>Scenarios</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) Fully in line with identified / defined growth and new sectors.</td>
<td>66-80</td>
<td>All aspects of the project fall into the growth and new sectors.</td>
</tr>
<tr>
<td>b) Some alignment with identified growth and new sectors.</td>
<td>1-65</td>
<td>Some aspects of the project fall into the growth and new sectors.</td>
</tr>
<tr>
<td>c) No alignment with identified growth and new sectors.</td>
<td>0</td>
<td>No aspects of the project fall into the above growth and new sectors.</td>
</tr>
</tbody>
</table>
### Criteria, Sub-criteria & Scenarios

<table>
<thead>
<tr>
<th>Explanation</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.1.2 Job Creation</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The applicant should be advised to develop this section with the industry partner. The number and kinds of jobs and the likelihood that the jobs will materialize should be provided. Score estimates assume the project will be successful in its aims and the time is from the completion of the project. As a project progresses through cycles, the likelihood of job creation should demonstrably be higher.</td>
<td></td>
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<tr>
<td>• Jobs may be created directly or indirectly</td>
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<tr>
<td>• Consideration must be given to the risk associated with the creation of jobs</td>
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<tr>
<td>• Consideration must be given to the performance estimates in the proposal</td>
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<tr>
<td>• Projects in cycles 2 or 3 are expected to score &gt;35</td>
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<tr>
<td><strong>Scenarios</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) High potential to create jobs</td>
<td>66-80</td>
<td>The manufacture of the product or the process developed or the outcome of the research will lead the job creation.</td>
</tr>
<tr>
<td>b) Some potential to create jobs</td>
<td>1-65</td>
<td>The manufacture of the product or the process developed or the outcome of the research has some potential to create jobs.</td>
</tr>
<tr>
<td>c) No potential to create jobs</td>
<td>0</td>
<td>The manufacture of the product or the process developed or the outcome of the research has no potential to create jobs.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Explanation</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1.1.3 Commercial potential</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>The applicant should be advised to develop this section with the industry partner. The nature and value of the commercialization opportunity should be specified. Estimates assume the project will be successful in its aims and the time is from the completion of the project. Details of the market environment and market planning will be an advantage. In many instances the research outcome is an improvement in existing commercial activities – the increase in revenue generation should be estimated. As a project progresses through cycles the likelihood of job creation should be demonstrably higher.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Consideration must be given to:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Commercial potential in terms of the final product or process which the research is intended to directly impact on;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The commercialization intentions of this product by the industrial partner(s);</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The performance estimates in the proposal;</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• The risk associated with the commercial potential; and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Projects in cycles 2 or 3 are expected to score &gt;40.</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Scenarios</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) High potential for commercialization after pre-competitive development.</td>
<td>66-80</td>
<td>There should be an explicit statement to this effect in the proposal and the Panel should be sufficiently convinced that this potential exists.</td>
</tr>
<tr>
<td>b) Some potential for commercialization after pre-competitive development.</td>
<td>1-65</td>
<td></td>
</tr>
<tr>
<td>c) No potential for commercialisation</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>
**I.1.4 Investment potential (capital and human)**

- The applicant should be advised to develop this section in consultation with a venture capital specialist, and in collaboration with the industry partner.
- Investment potential refers to the potential for this project to lead to investment in South Africa.
- The investment may come from the industry partner(s) or from other parties who may be South African or foreign.
- The investment may for example entail the building of factories in South Africa or extensions/improvements to existing ones.
- The nature and value of the investment opportunity should be specified. Estimates assume the project will be successful in its aims and the time is from the completion of the project.
- The project may also necessitate investment in human resource development to operate the capital investments. The role of these specialists and their advantage to the industry partner and/or the sector needs to be clearly described (this alternative should however carry a lower score (≤ 50)).
- The risk associated with the planned or envisaged investment must also be considered.
- Consideration must be given to the performance estimates in the proposal.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) High investment potential</td>
<td>66-80</td>
<td>There is a high likelihood that the project will lead to the establishment of factories, investment of foreign capital.</td>
</tr>
<tr>
<td>b) Medium investment potential</td>
<td>41-65</td>
<td>There is a reasonable to good likelihood that the project will lead to the establishment of factories, investment of foreign capital OR the development of high quality human resources. (if this alternative is taken, the highest possible score is 50).</td>
</tr>
<tr>
<td>c) Low investment potential</td>
<td>0-40</td>
<td>There is a little likelihood that the project will lead to the establishment of factories, investment of foreign capital or the development of high quality human resources.</td>
</tr>
</tbody>
</table>

**I.1.5 Environmental Impact**

- The dti has various responsibilities of national priority related to industrial activities. One of these is supporting “cleaner production”. Cleaner production here refers to reducing the negative impact of industrial processes and/or products in the environment.
- This item provides an opportunity for those projects that contribute positively to environmental quality and sustainability to be credited an MCDM score.
- The proposal should specify whether the project contributes positively to the environment through natural resource protection or through mitigating the impacts of natural resource use.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The project per se is about reducing the negative impact of industrial processes on the environment.</td>
<td>56-65</td>
<td></td>
</tr>
<tr>
<td>b) Project either by nature has potential for significant positive environmental impact or pays attention to specifically addressing the potential negative</td>
<td>26-55</td>
<td></td>
</tr>
<tr>
<td>Criteria, Sub-criteria &amp; Scenarios</td>
<td>Score</td>
<td>Explanatory Notes for Scenarios</td>
</tr>
<tr>
<td>----------------------------------</td>
<td>-------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>c) Impact of project, product or process environmentally neutral.</td>
<td>1-25</td>
<td></td>
</tr>
<tr>
<td>d) Project has potential for significant negative environmental impact and this is not addressed</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

I.2 Scientific and Technological Merit

**Explanation**
- The project proposal must demonstrate appropriate, high quality science, engineering and/or technology research methods and approaches. These should be provided at a level of detail enabling a specialist to evaluate quality.
- The proposal must clearly demonstrate: understanding of recent and pertinent literature; a clear, relevant methodology; and a clear link between the method/approach and meeting project objectives.

**Scenarios**

- **a) Innovative and cutting-edge application of science and technology that will clearly facilitate meeting project objectives**
  > 66-80 All aspects of the project must be well planned with appropriate methods and a clear logical link between approach and outcomes.

- **b) Adequate application of science and technology that will clearly facilitate meeting project objectives**
  > 41-65 Most aspects of the project must be well planned, with appropriate methods and a clear logical link between approach and outcomes.

- **c) Poor articulation of scientific method/approach, unlikely to deliver project outputs and outcomes**
  > 0-40 Few aspects of the project are well planned, with appropriate methods and a clear logical link between approach and outcomes.

I.3 Additionality

**Explanation**
- Additionality refers to the extent to which THRIP funding will generate activities which would not otherwise have happened.
- The project proposal must clarify the degree to which the THRIP funding “makes the difference”, e.g. would the project go ahead without THRIP funding and/or which project objective/s would only be met with THRIP funding.
- The additionality level is considered to be an indicator of THRIP’s success as a supply-side incentive.
- The activity generated must at all times be directly applicable to the research project being considered for funding.

**Scenarios**

- **a) Full additionality**
  > 16-25 New activities and monies are leveraged by THRIP from industry for the research over and above what industry had intended to invest in the research, or the availability of THRIP resources has prompted industry to pursue research that it would normally not have considered at that time.

- **b) Partial additionality**
  > 1 - 15 Funding of a project has already been earmarked, but THRIP funding has resulted in an expansion of the scope of the project, the addition of higher risk elements, changes in timeframes, etc.

- **c) No additionality**
  > 0 The activity of the project will go ahead at the same level and rate even without THRIP support. The project will not be supported.

I.4 Causality and Implementation
### Criteria, Sub-criteria & Scenarios

**Explanatory Notes for Scenarios**

- **Causality** refers to a demonstrable output or outcome resulting from THRIP investment in the R&D project.
- **Output** refers to a product, process, technique or paper.
- **Outcome** refers to a spin-off company, a new policy, new products in the market or improved quality of life.

Implementation refers to the degree to which the THRIP research outcome is likely to be implemented by the industry partner / sector.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Full causality and implementation</td>
<td>16 - 25</td>
<td>The project is highly likely to lead to the use of a new or innovative output(s) or outcome(s) by the industry partner or in the sector.</td>
</tr>
<tr>
<td>b) Partial causality and implementation</td>
<td>6 - 15</td>
<td>Some aspect of the project is likely to lead to the use of a new or innovative output(s) or outcome(s) by the industry partner or in the sector.</td>
</tr>
<tr>
<td>c) Minimal causality and implementation</td>
<td>0 - 5</td>
<td>The limited research outputs / outcomes are unlikely to be implemented.</td>
</tr>
</tbody>
</table>

### RESEARCH COLLABORATION

- This criterion recognizes the value of collaboration.
- The name, title, position, institutions and role of each collaborating researcher in the THRIP project should be specified.
- Credit is weighted on collaborations with black researchers and with international collaborators.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The project involves substantial networking and research collaboration between industry partner(s) and research institution(s). Black researchers must be included and international partners are recommended.</td>
<td>26 - 50</td>
</tr>
<tr>
<td>b) The project involves some networking and research collaboration between industry partner(s) and research institution(s). Black researchers must be included.</td>
<td>11 - 25</td>
</tr>
<tr>
<td>c) Little or no networking and research collaboration between industry partner(s) and research institution(s).</td>
<td>0 - 10</td>
</tr>
</tbody>
</table>
• The annual progress report must clearly demonstrate acceptable progress against each project objective and milestones.
• There will be an opportunity in the annual report to motivate for an increase in THRIP funds because of an increase in industry partner funding.
• **Note** that the project is only proposed once – and the annual report will be in terms of the objectives of the first proposal. If additional funding is approved in Year 2 or 3, reporting on the additional objectives must be included in the subsequent annual reports.
• Continuation of funding for years 2 and 3 is dependent on a satisfactory annual progress report.
• The level of funding is unlikely to be revised (from original allocation letter) during the 3 years of support but if additional industry funding is found, revision may be considered.
• After 3 years, if the project requires further funding, a second cycle of funding can be proposed. This enables a longer period from the initial ideas to full commercialization.
• In every project cycle, each of the 3 funded years must have specific objectives and the progress report must report on these.
• All THRIP grant holders are required to submit an Annual Progress Report with the industrial partners’ evaluation. In the case of a project that was supported by more than one industrial partner, at least 50% of the partners should submit an evaluation. These are the primary reports to be used by the Panel in evaluating progress and approving continued funding.
• The evaluation of progress should also consider the progress relative to targets set in the approved proposal. The targets within the proposal will generally appear under:
  o Work plan
  o Outputs summary (technology; human resources; prototypes; patents; artefacts; publications etc.)
  o Acquisitions (e.g. equipment in budget section)
  o Students trained
• To allow for the possibility that new proposals can score better than poorly-performing continuation projects on this sub-criterion, all new projects are automatically allocated a score of 50 for this criterion so as to allow for new projects to score better than poor-performing continuation projects
• In assessing the progress, the panel is expected to make a holistic evaluation of progress.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Technology and research targets fully met</td>
<td>56 - 65</td>
<td>Some of the targets have been fully met but not all, or all targets have been partially met. All new projects are to be allocated a score of 50 for this criterion so as to allow for new projects to score better than poor-performing continuation projects</td>
</tr>
<tr>
<td>b) Technology and research targets partially met OR</td>
<td>31 - 55</td>
<td></td>
</tr>
<tr>
<td>c) New project</td>
<td></td>
<td></td>
</tr>
<tr>
<td>c) No significant progress has been made on any of the technology and research targets, but acceptable explanation or reasons have been provided</td>
<td>11 - 30</td>
<td></td>
</tr>
<tr>
<td>d) No significant progress has been made on any of the technology and research targets and no acceptable explanations or reasons have been provided</td>
<td>0 - 10</td>
<td>&lt;10 fails the project for continuation</td>
</tr>
</tbody>
</table>

| IV | CAPACITY BUILDING |
The criterion, made up of four sub-criteria (IV.1 to IV.4) deals with building capacity to achieve the objectives of THRIP. The capacity building focuses on infrastructure provision and human resource development.

- It also specifically attempts to leverage a higher return on investment (IV.1) and to support corrective action (IV.2 and IV.3).
- Note that as a rule, THRIP will invest a maximum of R200,000.00 per SA student (full time equivalent) involved in a project.
- These scenarios attempt to credit those projects who train more SA students (at 4th year level or higher) per Rand investment from THRIP.
- The capacity building applies only to SA students at 4th year level or higher, spending at least 20% of their time involved in the project research.
- The grant holder must report as to whether a student has registered as a full-time or part-time student.

### IV.1 General Student Capacity Building

These scenarios attempt to credit those projects who train more SA students (at 4th year level or higher) per Rand investment from THRIP.

- The capacity building applies only to SA students at 4th year level or higher, spending at least 20% of their time involved in the project research.
- The grant holder must report as to whether a student has registered as a full-time or part-time student.

#### Scenarios

<table>
<thead>
<tr>
<th>Scenario Description</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) A cost to THRIP of R50,000.00 or less per SA student trained at 4th year level and higher</td>
<td>65</td>
</tr>
<tr>
<td>b) A cost to THRIP of R50,000.00 to R66,667.00 per SA student trained at 4th year level and higher</td>
<td>50</td>
</tr>
<tr>
<td>c) A cost to THRIP of R66,667.00 to R100,000.00 per SA student trained at 4th year level and higher</td>
<td>40</td>
</tr>
<tr>
<td>d) A cost to THRIP of R100,000.00 to R200,000.00 per SA student trained at 4th year level and higher</td>
<td>25</td>
</tr>
<tr>
<td>e) No involvement of students at 4th year level and higher</td>
<td>0</td>
</tr>
</tbody>
</table>

#### Explanatory Notes for Scenarios

- Only undergraduate students at 3rd year level involved (spending at least 20% of their time on the project)

### IV.2 Capacity Building with regards to Black Researchers

This sub-criterion is designed to promote research capacity and leadership building among black researchers.

#### Scenarios

<table>
<thead>
<tr>
<th>Scenario Description</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) The grant-holder and all the researchers are black</td>
<td>65</td>
</tr>
<tr>
<td>b) The grant-holder and at least one researcher is black</td>
<td>50</td>
</tr>
<tr>
<td>c) The grant-holder is white and one / all other researchers are black</td>
<td>35</td>
</tr>
<tr>
<td>d) All the researchers</td>
<td>0</td>
</tr>
</tbody>
</table>
Criteria, Sub-criteria & Scenarios | Score | Explanatory Notes for Scenarios
--- | --- | ---

### IV.3 Student Corrective Action

**Explanation**
- One of the three priorities of THRIP is “to support an increase in number of black and female students who intend to pursue technological and engineering careers”. This sub-criterion addresses this priority.
- In scoring this sub-criterion the Panel must concern itself only with those students who count according to THRIP minimum requirements, i.e. SA students at 4th year level of study or higher, spending at least 20% of their time of this project.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Above 80% of black or female students</td>
<td>65</td>
<td>This information can simply be read off the application form.</td>
</tr>
<tr>
<td>Above 50% of black or female students</td>
<td>30</td>
<td>This information can simply be read off the application form.</td>
</tr>
<tr>
<td>Below 50% of black or female students</td>
<td>0</td>
<td>This information can simply be read off the application form.</td>
</tr>
</tbody>
</table>

### IV.4 TIPTOP Placements

**Explanation**
- Technology Innovation promotion through the Transfer of People (TIPTOP) represents a set of placement mechanisms to promote mobility of people participating in THRIP projects, among the organizations involved in the projects. They are also viewed as an effective mechanism for transfer of technology between collaborators.
- TIPTOPs are to be fully embedded in the project and the industry partner to be TIPTOP-matched should also be making a financial contribution (at least 10% of total industry contribution) to the project.
- There are four specific TIPTOP options (TIPTOPs 1 – 4) depending on participants. The participants and period also determines the TIPTOP value.
- The scoring for this sub-criterion is intended to encourage more TIPTOPs and/or longer periods spent at the relocation destination.

<table>
<thead>
<tr>
<th>Scenarios</th>
<th>Score</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>More than two TIPTOP candidates spending at least 50% of time per annum at the relocation destination</td>
<td>65</td>
<td>This information can simply be read off the application form.</td>
</tr>
<tr>
<td>One or two TIPTOP candidate(s) spending at least 50% of time per annum at the relocation destination</td>
<td>30</td>
<td>This information can simply be read off the application form.</td>
</tr>
<tr>
<td>No participation in the TIPTOP scheme</td>
<td>0</td>
<td>This information can simply be read off the application form.</td>
</tr>
</tbody>
</table>

### V CHARACTERISTICS RELATED TO THE INDUSTRIAL PARTNER(S)

**Explanation**
The primary aim of THRIP is to improve the competitiveness of SA industry. This criterion (V) comprising sub-criterion V.1 to V.3 looks at issues relating to the role/contribution of the industrial partner(s) in the scoring of the projects. It recognizes factors that relate to:
- The benefits of collaboration involving all players in the project, preferably in a structured fashion.
- The benefits of companies pooling their resources in funding research (generally pre-competitive), to enhance their competitive edge internationally.
- The acceptance internationally and locally that the SMME sector provides attractive opportunities for economic growth and job creation.

### V.1 Project Management and Structure
<table>
<thead>
<tr>
<th>Explanation</th>
<th>Score</th>
<th>Explanatory Notes for Scenarios</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Permanent management structures such as a steering committee that meets at least twice a year and involves industry partner(s), all institutions involved, research leaders and students.</td>
<td>41 - 50</td>
<td></td>
</tr>
<tr>
<td>b) Regular scheduled meetings between industrial partner(s) and grant-holder and students.</td>
<td>26 - 40</td>
<td></td>
</tr>
<tr>
<td>c) Ad hoc meetings between industrial partner(s) and grant-holder</td>
<td>11 - 25</td>
<td></td>
</tr>
<tr>
<td>d) No meetings between industrial partner and grant-holder</td>
<td>0 - 10</td>
<td></td>
</tr>
<tr>
<td>V.2 Size of Company(ies)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>a) More than one SMME involved, without any large company</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>b) More than one SMME involved but includes one or more large company(ies)</td>
<td>25</td>
<td></td>
</tr>
<tr>
<td>c) Only one SMME involved, with or without a large company</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>d) No SMME involved</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>
Annexure 1B: THRIP MCDM score card.

<table>
<thead>
<tr>
<th>I Project Characteristics</th>
<th>Max Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>I.1 Alignment to the dti Priorities</td>
<td></td>
<td></td>
</tr>
<tr>
<td>I.1.1 the dti National Industrial Policy Framework Alignment</td>
<td>80</td>
<td></td>
</tr>
<tr>
<td>I.1.2 Job Creation</td>
<td>80</td>
<td></td>
</tr>
<tr>
<td>I.1.3 Commercial Potential</td>
<td>80</td>
<td></td>
</tr>
<tr>
<td>I.1.4 Investment Potential</td>
<td>80</td>
<td></td>
</tr>
<tr>
<td>I.1.5 Environmental Impact</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td>I.2 Scientific and Technological Merit</td>
<td>80</td>
<td></td>
</tr>
<tr>
<td>I.3 Additionality</td>
<td>25</td>
<td></td>
</tr>
<tr>
<td>I.4 Causality and Implementation</td>
<td>25</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>II Research Collaboration</th>
<th>50</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>III Continuation And Progress</td>
<td>65</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>IV Capacity Building</th>
<th>65</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>IV.1 General Student Capacity Building</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td>IV.2 Capacity building with regards to Black Researchers</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td>IV.3 Student Corrective Action</td>
<td>65</td>
<td></td>
</tr>
<tr>
<td>IV.4 TIPTOP Placements</td>
<td>65</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>V Characteristics Related To Industry Partner(S)</th>
<th>50</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>V.1 Project Management and Structure</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>V.2 Number and Nature of Companies in Joint Planning</td>
<td>50</td>
<td></td>
</tr>
<tr>
<td>V.3 Size of Companies</td>
<td>50</td>
<td></td>
</tr>
</tbody>
</table>

| TOTAL SCORE | 1 040 |              |

"Total Maximum Score" is the highest possible score a project could get. In order to get this it would have to be scored at maximum on ALL criteria / sub-criteria.
Annexure 2: THRIP First Come-First-Serve Process
### Annexure 3: Definitions

<table>
<thead>
<tr>
<th><strong>Additionality</strong></th>
<th>Additionality refers to the extent to which THRIP funding generates activities which would not otherwise have happened. The additionality level is considered to be an indicator of THRIP’s success as a supply-side incentive.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Racial Classification</strong></td>
<td>Black includes African, Asian and Coloured.</td>
</tr>
<tr>
<td><strong>Black Economic Enterprise</strong></td>
<td>A black empowered enterprise is the one that is at least 25.1% owned and managed by black people. Ownership refers to economic interest and management refers to executive directors. Source: “Summary Document on BEE” from the dti.</td>
</tr>
<tr>
<td><strong>Causality</strong></td>
<td>Causality refers to a demonstrable output or outcome resulting from THRIP investment in the R&amp;D project.</td>
</tr>
<tr>
<td><strong>Industrial Partner</strong></td>
<td>Industrial partner in the THRIP context refers to co-funding institutions/organisations whose funding may be matched. This term is often used interchangeably and loosely with “Enterprise”, and includes private enterprises, private associations, individuals and public enterprises partly or wholly owned by the State.</td>
</tr>
<tr>
<td><strong>Innovation</strong></td>
<td>The creation of new knowledge or the application of existing knowledge in a new area.</td>
</tr>
<tr>
<td><strong>Grant-holder</strong></td>
<td>The grant-holder will be the person in whose name the grant is awarded. The individual must be a permanent member of staff at the institution (HEI or SETI) concerned and must have the appropriate qualifications and experience to lead the project and to train students up to postgraduate level.</td>
</tr>
<tr>
<td><strong>Prototype</strong></td>
<td>A prototype can be a widget (an object, e.g., an engine) or a model (mathematical or other, e.g., a model describing a feeding system or management system) or a process (e.g., a manufacturing process of some kind – a chemical plant) or a procedure (e.g., a procedure for analysis of a water sample, or a procedure for growing GM crops).</td>
</tr>
<tr>
<td><strong>Scientific and Technology Outputs</strong></td>
<td>Scientific outputs include papers, patents, conference notes, theses, etc. Technology outputs include patents, models, descriptions, designs or blue prints of the technology.</td>
</tr>
<tr>
<td><strong>SETI</strong></td>
<td>Refers to those parastatals that conduct science, engineering and/or technology research (science councils, government laboratories, etc.)</td>
</tr>
<tr>
<td><strong>Team Member</strong></td>
<td>Refers to a researcher (excluding the grant holder or student(s)) whose research is being supported through this grant and spend at least 20% of his/her research time on this project.</td>
</tr>
<tr>
<td><strong>Technology Transfer</strong></td>
<td>This is the process of innovation (creation of new knowledge or application of existing knowledge in a new area) AND its transfer to the industrial partner(s) for their benefit.</td>
</tr>
<tr>
<td><strong>THRIPable</strong></td>
<td>Costs that qualify for THRIP matching financial support.</td>
</tr>
</tbody>
</table>