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| **Nr** |

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**STELLENBOSCH UNIVERSITY**

**INDIRECT COST RECOVERY RATE: APPLICATION FOR REDUCTION / EXEMPTION**

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| **Type of contract (Research contract, short course etc.)** |  |
| **S-number (if applicable)** |  |
| **Short course number (if applicable)** |  |
| **Type of request (reduction / exemption)** |  |
| **Name of SU contract owner / researcher** |  |
| **Contact details of SU contract owner** |  |
| **Relevant SU environment** |  |
| **Name of external party to the contract** |  |
| **Contract period** |  |
| **Cost centre** |  |
| **ADDITIONAL INFORMATION** | |

**This is an application for the reduction / exemption in terms of:**

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| Through-flow funds |  |
| Limiting of the ICRR in terms of the policy of funding institutions |  |
| Budget negotiated prior to 1 January 2019 |  |

**If it is an application for a reduction / exemption in terms of *Through-flow funds*, attach the following documentation:**

|  |  |
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| **Documentation required** | **/** |
| A summary of the project as well as the strategic importance of it for SU, clearly indicating the project cost and contract amount.  A clear indication of the academic outputs that will flow from the contract (including publications and Post-Graduate students). |  |
| Signed/Draft contract between SU and funder/subcontractor, including the budget |  |
| Approved/Draft full-cost budget which indicates that the subcontractor is included |  |
| Modified full-cost budget indicating the effect of the possible reduction / exemption |  |
| Signed contract between SU and the subcontractor |  |
| A short summary of the nature of the financial and project management, which will be required from SU.  E.g.  a) Do we manage a consortium where we need to collect and collate information from the subcontractor(s), perform audits, issue monthly invoices, apply for Reserve Bank approvals etc.; or b) once-off payment to subcontractor with no further administration |  |
| A written motivation from the Dean / Vice-Rector where the following is confirmed:   * that the funder has a **strategic relationship** with the University; * that the project addresses **SU's strategic priorities**; * that the project will have a significant **academic footprint**; and * that the **environment** is willing to **forfeit their** **portion** of the indirect cost recovery |  |

**If it is an application for a reduction / exemption in terms of *a Limitation of the ICRR in terms of the policy of the funder,* attach the following documentation:**

|  |  |
| --- | --- |
| **Documentation required** | **/** |
| A summary of the project as well as the strategic importance of it for SU, clearly indicating the project cost and contract amount.  A clear indication of the academic outputs that will flow from the contract (including publications and Post-Graduate students). |  |
| Signed/ Draft contract between SU and funder, including the budget |  |
| Approved/Draft full-cost budget |  |
| Modified full-cost budget indicating the effect of the possible reduction / exemption |  |
| Written proof from the primary sponsor (in their statute or guidelines for funding) that indicates the indirect cost principles. |  |
| A written motivation from the Dean / Vice-Rector where the following is confirmed:   * that the funder has a strategic relationship with the University; * that the project addresses SU's strategic priorities; * that the project will have a significant academic footprint; and * that the environment is willing to forfeit their portion of the indirect cost recovery |  |

**If it is an application for a reduction / exemption in terms of *a Budget negotiated prior to 1 January 2019*, attach the following documentation:**

|  |  |
| --- | --- |
| **Documentation required** | **/** |
| Evidence of communication (e.g. e-mail correspondence, draft budgets) with the funder prior to 1 January 2019 whereby it is clear those negotiations took place prior to 1 January 2019 and that the funder is aware of our Indirect Cost Recovery rate (20.5%). |  |

**Note**:

* The SU contract owner is responsible for the preparation of all the relevant documentation as required in Addendum B of the Policy in respect of the Indirect Cost Recovery Rate with regard to Third-stream Income at SU.
* The Division Research Development and the Division Finances is responsible for the evaluation of applications and the approval of exemptions.
* Please **complete** and **sign** the form and send it, with the necessary supporting documentation, to the Accountant: Financial Planning and Budgeting (Ilse Griffiths @ [wilters@sun.ac.za](mailto:wilters@sun.ac.za) / x4359).

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| 1. Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(name) | 2. Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name) |
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| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (signature) |
| **SU Contract owner** | **Dean / Vice-Rector** |
| Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
|  |  |
| 3. Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name) | 4. Approved: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (name) |
|  |  |
| \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(signature) | \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_(signature) |
| **Chief Director: Finance & Senior Director: Research & Innovation** | **Chief Operating Officer / Vice- Rector: Research, Innovation and Postgraduate Studies** |
| Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |