Singapore Maritime Institute

GUIDELINES FOR MANAGING SMI GRANTS

Strictly Confidential

INTRODUCTION

This document should be used as a guide for Principal Investigators (PIs) and Co-Investigators (Co-Is)/ Programme Managers (PMs) to apply for and manage their SMI grants.

For *quick reference*, you may refer to the:

- list of Non-Fundable items in the Annex 1a (p. 9)
- checklist for Grant Applications in Annex 1b (p. 15)
- budget template for Grant Applications in Annex 1c (p. 17)
- checklist for Grant Recipients in Annex 2 (p. 19)

In general, PI/Co-Is/PM should take reference from and comply with the Terms and Conditions under which their SMI grants have been awarded.

The PI/Co-Is/PM should contact SMI if they require further clarifications.

This document is strictly confidential.

Matters to resolve before proceeding with research

Approvals from Ethics Committees

1. A copy of the necessary approval from the relevant board and committees must be sent to SMI where applicable. Failure to do so will delay the disbursement of funds.

Research Collaboration Agreements

2. The Investigators are responsible for putting in place research collaboration agreements where and when applicable.

Disbursement of funds

3. A list of non-fundable direct cost items is provided in the Annex 1a. Only items specified in the approved budget will be funded.

4. All expenditure should be incurred (based on invoice date) before the end of the Term.

5. In general, prudence should be exercised for all project costs.

EOM

6. Funding of research staff under the grant must comply with prevailing and consistently applied human resource guidelines of the employing Host/Partner Institution(s), regardless of the source of funds. The grant should not augment the salaries of staff already supported by the employing organisation or other sources of funding. Under no circumstances can salaries for clerical or support staff be allocated under the funding.

7. For manpower-related fund requisitions, update of all staff employed under the project must be provided in Schedule 3 Manpower Listing, including those whose employment has ended. Schedule 3 shall be submitted for every Half-yearly Requisition.

8. All hiring Institutions (Host or Partner) and the hiring supervisor PI/Co-Is/PM shall employ or otherwise engage Research Engineers/Research Assistants/ Research Technicians or staff of equivalent qualifications who are Singapore citizens and/or Singapore Permanent Residents to be deployed in the work under the Research. For the purposes of this paragraph 8, the term “Research Engineers”, ”Research Assistants” or “Research Technicians” or staff of equivalent qualifications shall mean research technicians, or staff of equivalent qualifications who participate in the Research by performing mainly technical tasks as well as providing support functions distinct from the work carried out

by the Investigators. Whilst Research Engineers/Research Assistants/ Research Technicians may provide intellectual input to the Research, they are not required to be directly involved in the management of the Research or for providing leadership in the conception and creation of new knowledge, products, processes, methods and systems under the Research. At the point of entry, Research Engineers/ Research Assistants/ Research Technicians will typically not be required to possess PhD qualifications. For clarification, "Research Assistants" will not include nurses and other hospital workers whom may assist in the Research.

9. In the event the PI is unable to follow the guideline in Paragraph 8 above, the Institution shall demonstrate reasonable efforts to hire Singapore citizens and/or Singapore Permanent Residents for the research prior to seeking approval from SMI for hiring of foreign Research Engineers/Research Assistants. These efforts shall include but not limited to advertising/broadcasting the available research position(s) on minimum two (2) recruitment platforms independent from each other for at least six (6) weeks each, or three (3) recruitment platforms independent from each other for at least four (4) weeks each. The PI must seek prior approval from SMI with proper justification using Schedule 3.1 (Project Manpower Related Request Form) and can only employ staff of other nationality if the request is supported. SMI reserves the right to reject requests made retrospectively for the hiring of foreigners as Research Engineers/Research Assistants.

   For Research Fellows, the Institutions shall use reasonable efforts to employ or otherwise engage Singapore citizens or Singapore permanent residents unless the required expertise is not available or the skill of any foreign person is necessary for the performance of the Research.

10. Hiring of foreigners for research project should comply with Ministry of Manpower's requirements as well as the internal HR policy of the respective institutions.

<u>Equipment and Other Operating Expenses (OOE)</u>

11. Only items specified and approved in the Letter of Award will be funded by SMI.

12. All items claimed must comply with the Institution's internal procurement processes, guidelines and policies.

13. SMI's approval must be sought prior to purchasing new equipment/OOE items that is not in the approved budget. If any in-principle approval has been given, the Host Institution shall submit Schedule 7(B) (Project Form – Other Requests) to SMI for formal endorsement.

14. SMI reserves the right to reject variation requests made retrospectively for equipment/OOE not listed in the Letter of Award.

Overseas Travel Related Expenses

15. It is the responsibility of the Lead PI/Co-Is to ensure that all travel expenses are in line with the Institutions' consistently applied policy on travel, regardless of the source of funds. The Host Institution and Partner Institutions are to ensure that any travel undertaken is in relation to the grant only and for no other purpose. Support for Travel should not exceed the standard rate per year of award. Total expenses for travel per person per trip must not exceed **S$6,000**. Support for total travel expenses for the project is strictly capped at **S$12,000 per year**.

Indirect Costs

16. Indirect costs in research are those costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored project, but contribute to the ability of the Institutions to support research projects and programmes. In other words, indirect costs are generally incurred through providing research space and administering the activities, not through the actual performance of the activities under the sponsored projects.

17. The SMI does not directly manage indirect cost funding. PIs should refer to their Host Institutions for their policy of managing indirect cost funding.

Performance Bonus

18. Claims for staff performance bonus should be submitted within 6 months following the end of the Term. For Host Institutions that practise accrual of performance bonus according to its finance policy, balance funds should either be returned or claimed within 6 months if the pay-out comes after the end of the Term.

Requests for variations to the awarded grant

19. SMI reserves the right to reject any claims that have resulted from project changes without prior approval from SMI (in specific circumstances as stated in these guidelines).

20. Request for any variation should be made before the last 3 months of the original end of the Term. Retrospective variation requests will not be allowed, unless there is compelling justification for submission of a late variation request.

Virement between Votes

21. Virement of votes by the Host Institution shall not be effected without prior written consent of SMI. For the purpose of obtaining SMI's consent, the Host Institution shall submit Schedule 7(A) (Project Request form for virement/extension) to SMI.

22. Inter-institutional virements require the SMI's approval and acknowledgement from the director of research (or equivalent) for all Institutions involved.

23. Virement of funds into the Overseas Travel sub-vote is not allowed. Overspending will not be reimbursed.

EOM

24. Prior written consent shall be obtained from the SMI for manpower changes (i.e. increase/decrease in headcount, change in designation or scheme of projected hires, change in time commitment to the grant). For the purpose of obtaining SMI's approval, the Host Institution shall submit the Schedule 3.1 (Manpower Related Request Form) to the SMI. Any virement into the EOM vote will require SMI's approval. Updates of manpower status in Schedule 3 and Project Schedule and Indicators in Schedule 2 should be provided when the fund requisition form is submitted to the SMI.

Grant Extension

25. Request for grant extension should be made before the last 6 months of the original end of the Term. The PI must ensure sufficient funds in each vote to support the extension request. Any variation requests necessary to meet the extension period must be made known as part of the extension request. Host Institution shall submit the Schedule 7(A) (Project Request Form) for virement/extension for SMI's approval.

26. A one-off project extension should not be more than a total of 6 months. An extension beyond 6 months will require compelling justification. No additional funds should be given for any extensions.

Change in Lead PI/Co-Is

27. Request for a change in the Lead PI/Co-Is must be made to SMI and be endorsed by the grant administrative office of the existing and new Host Institutions. The new Lead PI/Co-Is must be an expert in that area and possess the necessary expertise to continue with the research work. Host Institution shall submit Schedule 3.1 (Manpower Related Request Form) for SMI's

approval. Supporting documents such as project handover records with a covering letter duly signed by the past Lead PI/Co-I and new Lead PI/Co-I should be submitted together with Schedule 3.1.

Audit and Progress Reports

Yearly Audit Report

28. The Host Institution is required to submit a Yearly Audit Report of the preceding financial year ending 31 March, by 30 Sept of each year. Final year Audit Report should be submitted within 6 months following the end of the Term.

29. The Yearly Audit Report must be prepared by each Institution's internal or external auditors and certified by the director of research (or an authorised nominee).

30. The Yearly Audit Report should confirm that the Host Institution's requisitions are made in accordance with the Terms and Conditions of a Competitive Grant, and Guidelines.

Yearly Progress Report

31. The Host Institution is required to submit Yearly Progress Reports. The first report shall fall due on the date as set out in the Letter of Award or on such earlier date as reasonably required by SMI. Subsequent reports shall fall due on the anniversaries of the due date of the first report.

32. These reports may be reviewed by an appointed review panel to assess the progress of the project. Investigators may also be invited to make a presentation of their research findings/progress to the SMI's appointed review panel. Investigators may be required to give additional information about the progress of any grant if the information submitted is deemed to be inadequate.

Final Progress Report

33. The Host Institution is required to submit a Final Progress Report within 3 months following the end of the Term. Investigators may be required to make a presentation on the completed projected to the SMI's appointed review panel to ensure that the project has been completed satisfactorily.

Final Statement of Account

34. The Host Institution is required to submit a Final Statement of Account within 6 months following the end of the Term.

Debarring of Investigators

35. Investigators who fail to submit any of the following reports within the stipulated timelines at paragraphs 28, 33 and 34 will be debarred:

    i Final year Audit Report
    ii Final Progress Report
    iii Final Statement of Account

    Debarred Investigators will not be eligible to submit new grant applications for a minimum of 1 year starting from the end of the respective deadlines. The period of ineligibility will continue until all the above are submitted to SMI.

NON-FUNDABLE DIRECT COSTS

1. EOM Related Expenses

Type of Expenses	Description
General policy	The general principle is that grants should support EOM costs and related benefits (as per employment contract) as long as it is in line with the consistently applied Host Institution's HR policies. This will extend to Host Institution policies that govern staff recruitment and related costs (e.g. costs associated with the onboarding of staff, staff insurance, overtime claims, employment benefits, employment levy, employment pass and pre-examination medical check-up.) Not allowable for advertisement and recruitment agency cost. Not allowable for costs associated with staff relocation and housing allowance unless specifically provided for with strong justifications and approved by SMI. All Manpower related costs that fall under Other Operating Costs (OOE) should be accurately reflected in the Budget. Fractional charging for staff costs based on time commitment to the project must be practised.
Principal Investigators / Co-Investigators / Programme Managers EOM cost	Not allowable unless specifically provided for in the funding and approved by SMI.
Unconsumed leave	Provision for unconsumed leave is not allowable.
Postgraduate stipend and tuition support	Not allowable, unless specifically provided for in the grant and approved by SMI.

Student Assistants / Interns	Not allowable for students who are recipients of existing awards (or stipends) or students who are not residents of Singapore. Only full-time students enrolled in local institutes of higher learning qualify to be supported as a student assistant/intern.

2. Equipment Related Expenses

Type of Expenses	Description
General policy	No purchase of equipment is allowed unless specifically provided for in the grant approved by the SMI. The procurement of such equipment must be made according to the formal established and consistently applied policies of the Host Institution. The invoices for all claims must be dated before the end of the Term.
Cost of capital works, general infrastructure, general purpose IT and communication equipment, office equipment, and furniture and fittings	Not allowable under direct costs, unless specifically provided for in the grant and approved by SMI. Examples of such costs are computers, office productivity software, PDAs, mobile phones, photocopier machines, workstations, printers, etc.

3. OOE Related Expenses

Type of Expenses	Description
General policy	Not allowable for expenses that are not directly related to the Research. All procurement of such items must be made according to the formal established and consistently applied policies of the Host Institution.
Visiting Professors/Experts	Not allowable unless specifically provided for in the grant and approved by the SMI. The visiting professor must be identified and his/her contribution to the project must be clearly defined and described in the proposal. Faculties should verify that the rates comply with the institution's standard rates. Approved Visiting Professor Honorarium will be valued at a maximum of S$10,000 per annum (all inclusive) subject to SMI's approval
Audit fees	Not allowable. This includes both internal and external audit fees.
Conference and Seminar Organisation	Not allowable unless specifically provided for in the funding and approved by SMI.
Entertainment & Refreshment	Not allowable.
Equipment Usage Charges	Not allowable for internal (intra-institution) equipment usage charges unless the equipment/service is part of the host institution's central/shared facilities and specifically provided for in the funding and approved by SMI. However, external (inter-institution) equipment usage charges are allowable.
Fines and Penalties	Not allowable.
Insurance Premiums	Not allowable. This includes insurance premiums for equipment, workmen compensation and professional indemnity of researchers funded by SMI. The host institution is responsible for the insurance of the equipment, relevant workmen compensation and

	professional indemnity insurance which are in line with the host institution's risk policies. However, personal travel insurance for approved overseas trip is claimable.
IT Peripherals	Not allowable unless specifically provided for in the funding and approved by SMI. (e.g. flash drives, optical media, data storage devices)
Legal Fees	Not allowable.
Licence Fees	Not allowable unless the licence is required for the handling of equipment funded by SMI.
Overhead Expenses	Not allowable unless specifically provided for in the grant and approved by the SMI based on the nature of the research. This includes rental, utilities, facilities management, telephone charges, internet charges, etc.
Patent Application	Not allowable. This includes patent application filing, maintenance and other related cost.
Payment to Volunteers	Not allowable unless specifically provided for in the funding and approved by SMI.
Professional fees (including fees to consultants)	Not allowable unless specifically provided for in the grant and approved by the SMI.
Professional Membership Fees	Not allowable. This applies to PI and Co-Investigators as well as all research staff funded from the grant.
Publications	Not allowable for costs of reprints and publishing in media such as books, monographs and pamphlets unless it is for publication in professional journals or specific approval has been obtained from SMI.
Repairs and Maintenance of Equipment	Not allowable unless specifically provided for in the funding and approved by SMI. The period of maintenance funded, if approved, should only be for the duration of the project and new equipment purchased or modified for the project.
Refurbishments, Renovations, Lab Retrofitting	Not allowable.

Lease, Rent of Land, Lab Space	Not allowable.
Software	Not allowable under direct cost unless specifically provided for in the grant and approved by the SMI. Software licences, if approved, should only be for the duration of the project.
Stationery and Printer Consumables	Not allowable unless specifically provided for in the funding and approved by SMI. This includes printing and photocopying charges.
Staff retreat	Not allowed.
Transportation, Postage & Courier Services	Not allowable for general transport, postage & courier charges. Only allowable for postage, courier and freight charges for bringing in equipment, specialized research consumables, and the submission of manuscripts and posters. Not allowable for rental of vehicles (land/air/sea) unless specifically provided for in the funding and approved by SMI.

4. Overseas Travel Related Expenses

Type of Expenses	Description
General policy	Not allowable unless specifically provided for in the grant and approved by the SMI. Conference participation should be directly relevant to the research area outlined in the project and necessary to accomplish project objectives. All travel must align to the existing and consistently applied institutions' travel policies regardless of the source of funds.
Meeting Overseas Collaborators	Not allowable for students.

Overseas Conferences	Not allowable for students unless they are PhD candidacy students who are presenting papers.
Overseas Training	Not allowable unless specifically provided for in the funding and approved by SMI.

Checklist for Grant Applications

1. Before you begin writing your grant application, familiarize yourself with the grant non-fundables list, grant T&Cs and grant application form.

2. Establish deadlines for the preparation of the grant application, particularly when collaborating investigators are involved. Be aware of your internal RI/ collaborator institutional deadlines that could delay your application.

3. If possible, find someone in your institution that can assist you in completing the application. Please activate your designated HR/Finance/Admin personnel to assist you with budgetary figures in your application where necessary.

4. It is recommended that you check your applications for any plagiarism (including self-plagiarism) using appropriate tools before submission.

   Please use this checklist as a guide, to assist you with administrative aspects of your grant. Please refer to Annex 1c for the grant budgeting guide.

Description	**Areas To check**
Investigator's institutional affiliations	As monies will flow to the respective investigators institutions, careful attention must be paid to the investigators institutional affiliation. This would affect those with multiple appointments. As a general guide, it should reflect where the work will be done, and where most resources will need to be used to complete the project.
Space for proposed project	Has space in your RI (office, lab, storage) been identified to support your proposed project?
Ethics Approvals and Clearances	Direct Research: (E.g. Clinical studies where subjects are being recruited.) Indirect Human Biomedical Research (E.g. Research that uses human specimens / data.) Has the equivalent ethics board approvals been applied for?
Animal Experimentation/ Research	Has the equivalent IRB / IACUC been applied for?

Please refer to Annex 1c for further details

Description	Areas to Check
Budgeting	Have your budgets adhered to the list of non-fundables and grant T&Cs? Have budgets which are indicated as non-allowable unless specifically budgeted for in the grant, been included? (Ref. to list of non-fundables)
Consideration of In-kind/Institutional Funding	Grant funding may only be able to support part of your total research costs. Have you considered what costs are to be paid for with grant monies and what costs will be met by the respective institutions? (Core budgets/in-kind resources)?
Manpower Costs (EOM)	Have you consulted your HR department/ have you budgeted for the full salary package of an existing/new headcount in your grant?
Equipment Costs (EQPT)	If budgeting for new EQPT have the following points been thought through? 1) *Budget/space for EQPT* 2) *Consideration of shared EQPT to use for project within Host Institution/ Research Institutes.* 3) *Maintenance costs of EQPT? (OOE)* 4) *Additional licences needed to run the EQPT? (OOE)*
Consumables Costs (OOE)	OOE: Have direct and indirect/non-R&D research costs been adequately thought through? *E.g. of indirect costs - overheads, sample courier costs*

Annex 1c

Budget template for Grant Applications

The budget template provided below consists of categories that should be considered when filling out a grant budget. PIs may use this as a reference and adapt this to budget templates provided to you for various grant types.

Category		Amount Requested ($)				Useful guidelines
	Qty/%	Year 1($)	Year 2($)	Year 3($)	Total	
EOM						*Grants will support EOM costs and related benefits. It is important to outline this carefully at the grant application stage You should include TOTAL package costs in these projections. Approach your HRPs for assistance.*
Post- Doctoral Fellows	100%					
Research Engineers/ Research Assistants	100%					
Student assistant stipends						
EQPT						
R&D						
R&D Software licence (Licence period more than 1 year)						
non R&D						
IT equipment (exclude general purpose PCs)						*Non-R&D items are generally NONFUNDABLE. If you need these to be covered under your grant, these must be reflected.*
OOE						
Manpower Related Costs						*To support EOM related OOE costs. Approach your HRPs for assistance.*
Courier of samples						
Publication costs						*Note that this is not allowable for costs of reprints and publishing in media such as books, monographs and pamphlets. Also not allowable for additional services (i.e. editing service).*
Maintenance costs for equipment funded by SMI						
Local Conference						*Include the possible local conferences in the proposal.*

R&D Software (licence period of 1 year or less)						*Not allowable for consumer software (e.g. Microsoft Office, Adobe Photo- and Video- editing software, Matlab, HTML editors) unless specifically provided for in the grant and approved by the SMI.* *Not allowable for generic software unless specifically provided for in the grant and approved by the SMI.* *Software licences, if approved, should be only for the duration of the project.*
Membership fees						*Not allowable unless the membership fees are mandatory to the work done in the project.*
Product liability insurance						*If applicable*
Equipment usage charges						*Not allowable unless the equipment/ service is part of central/ shared facility.* *Service charge form to be provided on request by SMI*
OOE – Overseas/ and Overseas Travel						
Presentation of work at overseas conferences						*No monies can be vired into the travel vote if the grant is awarded.*
Overseas training or meeting of overseas collaborators						*Overseas training includes attending relevant overseas conferences.*
Grand Total						

Annex 2

Checklist for Grant Recipients

This checklist is to assist PIs in collating complete documents and information for submission of request of funds to SMI as detailed in Sections 3-18.

Description	**Required documents to be submitted to SMI**	**Areas to check**
Funds Requisition Form	▪ Schedule 4 Funds Requisition Form, Expenditure Listing/Statement of Account eg. SAP report	☐ All fields duly completed? ☐ Signed by PI[1] and Finance personnel appointed by the Host Institution? [1] *Signatory should be the same as the LOA*
Virement of Budget	Approval memo / letter for budget virement and Schedule 7(A) Project Request Form	☐ Approved by appropriate authority?
Manpower Listing	▪ Schedule 3 Manpower Listing	☐ Required details stated? - name - designation - institution - start date of employment - end date of employment - nationality - country - proportion of time spent (if applicable) ☐ No. of staff and their positions are as per Letter of Award / Approval letter? ☐ If not, to check with PI whether approval had been obtained for headcount variation.
Project Schedule and KPI Status	▪ Schedule 2 Project Schedule and Indicators	☐ Updated the following sections in Schedule 2? A. Project Implementation Schedule B. Capability Building / Key Performance Indicators C. Details for Key Performance Indicators

EOM	▪ Expenditure listing ▪ Explanation for fluctuation of EOM cost *(if applicable)* ▪ To state name of staff who incur medical check-up costs.	☐ Any fluctuations in salary, CPF and/or bonus expenses?
OOE	▪ Expenditure listing	☐ Adequate description of items stated in the expenditure listing? ☐ Any purchase not fundable as per the List of Non-Fundable direct costs?
OOE maintenance cost	▪ Expenditure listing	☐ Period of maintenance stated? ☐ Name of equipment stated?
OOE EQPT Usage Charges	▪ Service Form to be provided to SMI upon request.	☐ Name of equipment and charges
OOE – travel cost	▪ Expenditure listing	☐ Travel costs incurred by PI and/or staff employed under the grant and/or students presenting paper specific to this grant project? ☐ Clearly specified in cover letter or expenditure listing? ☐ Adequate description of costs incurred, such as per-diem, airfare, accommodation etc provided? ☐ Details of conference, such as name, date, place etc provided?

Equipment	▪ To specify date of purchase for equipment that was accounted for in the last 6 months of the completion date of the project. ▪ To attach the list of equipment purchased under the grant	□ Adequate description of items stated in the expenditure listing? □ Equipment stated in original grant proposal?