UNIVERSITY OF CAPE TOWN
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STANDARD OPERATING PROCEDURE (SOP)

Title:	Pre- and Post-Award Management of Externally Funded Research Projects
Department(s):	Central Research Finance
	Research Contracts and Innovation
	Research Office
Version:	1.0
Effective Date:	URC approved 24.06.2026

The University of Cape Town (UCT) undertakes research projects funded by external sponsors, including both national and international entities such as government departments, foundations, and private companies. It is essential that the administration of these external grants upholds the highest standards of ethical and financial integrity. Furthermore, all grant management processes must comply with both UCT's internal policies and the respective funders' regulations and requirements.

This SOP outlines the standard processes, responsibilities, and compliance requirements for managing externally funded research projects throughout the pre-award and post-award lifecycle to ensure financial accountability, research integrity, and compliance with funder regulations.

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1. Scope

Applies to:

- All researchers, finance, and administrative staff involved in the application for, management of, and reporting of externally funded research projects.
- All sub-awardees, collaborators, consortium partners and subcontractors participating in externally funded research projects where contractual, reporting, compliance or due diligence obligations apply.
- All research related grants, contracts and other projects administered via the UCT electronic Research Administration (eRA) system/ Research Contracts & Innovation (RC&I).

Excludes:

- National Research Foundation (NRF) process-The funder has specific processes for different funding instruments.
- Research funded through philanthropic donations where the process is not managed through the UCT eRA system.

Due Diligence Requirements

The due diligence activities described in this SOP apply where required by a funder, contractual obligation, University policy, or institutional risk management requirement. Depending on the funder and funding arrangement, due diligence may include institutional due diligence, partner/sub-awardee due diligence, and individual researcher due diligence. Where applicable, these assessments must be completed before the execution of any sub-award agreement or commencement of project activities requiring such approval.

2. Definitions

In this SOP the following terms carry the meanings as defined below:

Central Research Finance (CRF): The central finance function responsible for oversight of externally funded research grants and contracts, including financial compliance, due diligence, reporting and fund administration.

Collaborator: An individual or organisation that contributes to a research project through the provision of expertise, facilities, data, resources or other forms of support but is not necessarily the recipient of project funds.

Consultant: any person or organisation that is contracted to share technical expertise or to provide guidance on specified issues.

Due Diligence: A risk-based assessment of an institution, organisation or individual undertaken to evaluate financial capacity, governance arrangements, compliance controls, ethical standards, research integrity practices and other matters relevant to the management of externally funded research.

Funder: Any individual or organisation that provides money to the University of Cape Town for the purpose of research.

Individual Researcher Due Diligence: A review of information relating to a researcher or project participant, undertaken where required by a funder, contractual obligation or institutional policy, to assess matters such as safeguarding, research integrity, conflicts of interest, misconduct, harassment and other compliance-related requirements.

Legal Advisor (LA): An authorised representative of UCT in RC&I, with Council delegated authority confirmed by the Registrar. responsible for reviewing, negotiating and approving research-related agreements on behalf of UCT. This person will fulfil the role of Authorised Business Official on electronic submission systems. Here the term is inclusive of Senior Legal Advisor and Director: RC&I roles.

Research Contracts & Innovation (RC&I): The UCT Department with Council delegated authority to negotiate and authorise research contracts entered into with a funders and research collaborators, subject to certain limits as specified in GEN002 Delegation of Authorities. (https://www.uct.ac.za/rci).

Prime: Synonymous with "Lead" is the collaboration partner who is the primary recipient of funding from a funder and may be the only party to enter into a contract with the funder. The Prime will then pass down funder obligations and formalise project deliverables and funding in a Sub-Award Agreement.

Sub-Award Agreement: The contract in terms of which the funds are passed on to a Sub-awardee and in which the Sub-awardee's rights and duties are specified.

Sub-Awardee *(which for the purposes of this SOP is understood to be synonymous with 'Sub-grantee' and 'Sub-recipient):* Any individual to whom, or organisation to which, UCT forwards funding from the primary funder, in either of the following cases:

- The Sub-awardee was a co-applicant in respect of the funding application; or
- UCT receives funding from a primary funder who specifies the requirements for the selection process of the Sub-awardees for receipt of a portion of the funding for the purpose of carrying out a programmatic segment of a research project for which UCT is primarily responsible or for research in a specific field.

A Sub-grantee:

- Will normally have contractually specified decision-making obligations to realise the goal or goals of the segment of the research project for which they are responsible *(and thus the term excludes consultants and subcontractors).*
- Is subject to due-diligence analysis and approval as set out in this SOP.

Subcontractor: Any individual or organisation that does not have an obligation to carry out a research project or a programmatic segment thereof but is contracted to provide a specific service associated with the research project.

Vendor: Any individual or organisation that provides similar goods and services to multiple customers as part of their routine business operations.

Faculty Finance Office (FFO): This refers to Senior Finance Officers (SFO), Assistant Finance Managers (AFM)/ Senior Research Finance Specialists, and Finance Managers (FM)/Research Finance Managers (RFM) that are responsible for review and approval of financial documentation in the faculty.

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3. Procedure- UCT as the Primary Award Recipient

A. PRE-AWARD STAGE

- UCT Research Offices (ROs) share funding opportunities on the Research Support Hub and via research mailers.
- Principal Investigator (PI) identifies suitable funding calls via UCT announcements, external funding announcements or directly on funder's portal.
- PI reviews eligibility, timelines (including internal deadlines), and submission requirements.
- PI submits an "Intention to Submit" form, to alert relevant pre-award support teams of their intention to submit a funding proposal. These forms are available as a link on the Researcher Announcement and on the Funding Opportunities page on the Research Support Hub website.
- PI drafts scientific proposal with support from their department, the Faculty of Health Sciences Research Development team and / or central International Grants Hub (IGH) or Research Support Services (RSS), where applicable.
- PI declares to the faculty which ethics and biosafety approvals are required for the proposed research, as well as resources required.
- PI prepares the budget and the UCT full costing in collaboration with Faculty Finance Office (FFO), using approved templates.

- PI submits approval form, via the UCT eRA pre-award module, to the finance and final faculty approver.
- Refer to Step-by-step | Research Support Hub for eRA form completion.
- Where a letter of support is required by a funder, FFO or the PI requests facilitation of the letter from the relevant office, usually, Central Research Finance (CRF), Central RO, Faculty of Health Sciences RO, and Research Contracts and Innovation (RC&I).
- Where a due diligence questionnaire and supporting documents are required by the funder, PI or Department/Unit Administrator sends the form to the relevant office for completion and/ or sign-off, usually, CRF, RO, and RC&I.
- Depending on the questionnaire requirements, the office that provides final sign-off uploads the signed form and supporting documents on the 'In-coming' Due Diligence shared drive.
- Where a due diligence questionnaire is required as part of the contracting process, or requires Legal sign-off, the PI sends the questionnaire to RC&I.
- The Contracts Officer requests input from the relevant departments, e.g. CRF, OIC, ICTS, HR, etc.
- Once completed, the questionnaire is signed off by the LAs and sent back to the PI for submission to the funder (FFO should be copied into the reply).
- The Contracts Officer uploads the signed form and supporting documentation on the 'In-coming' Due Diligence shared drive.
- Where a funder specifically requires institutional, partner, or sub-awardee due diligence as part of the proposal submission process, the PI or Department/Unit Administrator must submit the required documentation to the appropriate office for completion and review. Where partner or sub-awardee due diligence is required at proposal stage, the PI or Department/Unit Administrator must obtain the required information from the proposed partner and submit it to CRF and/or the Research Office for review. In all other cases, institutional, partner and individual due diligence assessments will be undertaken following notification of an award and prior to the execution of any sub-award agreement or commencement of project activities requiring such assessments.
- PI attaches the necessary clearance, approval and/or exemption forms to the eRA submission. *Refer to the Pre and Post Award Guideline for Ethics and Biosafety approvals.*
- If required, RC&I reviews the relevant sections of the funding application/proposal submitted on eRA and provides Institutional sign-off.
- PI submits application for funding or proposal to the funder on the funder's portal/system. Where institutional submission (e.g. Authorised Business Official) is required by the funder, RC&I performs the final submission on the funder's portal.

Award

- PI receives award letter or notification of funding approval and agreement from the funder. PI submits the agreement to researchcontracts@uct.ac.za for the RC&I administrator to allocate it to a Legal Advisor (LA). The RC&I administrator moves the pre-award record to awards, contract required and assigns an LA. The assigned LA at RC&I reviews the agreement, captures or confirms contract details *(Primary Funder, Contractual Partner, award value, research type, etc.*) on the eRA system contracts module, and negotiates contract terms with the funder, where applicable.

- LA and the funder / contractual partner sign the agreement where applicable, or LA indicates institutional acceptance of the funder's terms via the funder's online system.
- LA moves the record to "Initiate Fund Opening via Faculty Finance" and an eRA post-award record is generated. Thereafter, the LA moves the record to "Completed in RC&I," on the eRA system Contracts module.
- The PI and FFO receive a system generated notification that the contract has been processed successfully, and an eRA post-awards module record has been opened.

B. CONTRACTING, DUE DILLIGENCE AND COMPLIANCE MONITORING

- Upon receipt of an award notification, the PI must notify RC&I by emailing researchcontracts@uct.ac.za.
- RC&I serves as the central coordination point for award-triggered compliance activities and is responsible for initiating any required institutional, partner and individual due diligence processes.
- Where required by the funder, contractual obligations or institutional policy, RC&I will notify the relevant stakeholders, including but not limited to:
    - Central Research Finance (CRF)
    - International Grants Hub (IGH)
    - Office of Research Integrity (ORI)
    - Office of Inclusivity and Change (OIC)
    - Human Resources (HR)
    - ICTS
    - Other support offices as required
- RC&I will confirm whether any of the following are required:
    - Institutional due diligence
    - Partner or sub-awardee due diligence
    - Individual researcher due diligence
    - Funder-specific compliance requirements
    - Training, safeguarding or Continuing Professional Development (CPD) requirements
- No sub-award agreement may be executed until all required due diligence assessments and associated risk reviews have been completed.
- Where the eRA system supports automated workflow notifications, movement of a contract into the post-award stage should trigger notification of the relevant support offices responsible for due diligence and compliance **monitoring**.

- **Institutional due diligence**
    - Where a funder or contractual partner requires information relating to UCT's financial, governance, compliance, ethics or research integrity environment, RC&I will coordinate completion of the due diligence questionnaire.
    - RC&I will obtain input from the relevant support offices, including CRF, ORI, HR, ICTS and other stakeholders as required.
    - The completed questionnaire and supporting documentation will be reviewed and signed off by the appropriate institutional authority before submission to the funder or contractual partner.

- **Partner and sub-award due diligence**
    - Where UCT intends to enter into a sub-award arrangement, due diligence must be completed in accordance with the University's due diligence procedures and risk assessment framework.
    - The outcome of the due diligence assessment will be used to determine appropriate risk mitigation measures and management controls.
    - UCT remains accountable to the funder for the management of sub-recipient risk.
    - Where elevated risk is identified, additional controls may be implemented, including:
        - Spend-and-claim arrangements
        - Staged disbursement of funds
        - Additional supporting documentation requirements
        - Increased reporting frequency
        - Enhanced monitoring arrangements
    - The identification of risk does not necessarily preclude a partner from participating in the project, provided that appropriate risk mitigation measures are implemented.
- **Individual researcher due diligence**
    - Where required by the funder, contractual terms or institutional policy, individual due diligence assessments may be required for:
        - Principal Investigators
        - Co-Investigators
        - UCT project staff
        - Sub-awardee personnel
        - Other project participants identified by the funder
    - Such assessments may include declarations relating to safeguarding, bullying and harassment, misconduct investigations, conflicts of interest, criminal convictions, compliance with institutional policies, responsible conduct of research, and other matters specified by the funder.
    - Where required, supporting documentation may include declarations, police clearance certificates, confirmation from Human Resources or equivalent employing institutions, and other evidence specified by the funder.
- **Funder specific compliance monitoring**
    - Where required by the funder, IGH will monitor compliance with ongoing Continuing Professional Development (CPD) and training requirements for project staff. The PI obtains all permits, licences, returns and authorisations required for carrying out the research.

C. POST-AWARD STAGE

- If the PI does not have a Fund Centre, FFO assists the PI to open one by completing FM004 form.
- Each fund centre requires a research cost centre. PI completes a CO103 form and sends it to FFO
- FFO reviews, completes, and approves the forms and submits to UCT Ledgers for processing on SAP.

- Once the fund centre (FMC) and cost centre (CC) are open, PI completes an FM003a form using faculty's naming convention (e.g. ORG CODE_PROJECT NAME_PI SURNAME) and submits to FFO for review and approval.
- FFO assigns an SAP fund number and uploads the form to the eRA system post-awards module in the "fund opening approvals" tab.
- Where an investment fund is required, UCT Treasury Department approves the FM003a form before Ledgers can open the fund in SAP.
- A system generated notification goes to Ledgers to open the fund.
- Ledgers opens the fund and records the SAP fund number in the eRA system under the "fund information" tab.
- Ledgers changes the status on UCT eRA system to "Fund Opened".
- Research Admin moves the record status to the "Debtors Initial Review" stage on the eRA system.
- Depending on the terms of the contract,
  - Debtors issue an invoice to the funder upfront, or
  - FFO submits a Budget loaded request on eRA.
- **Invoicing:**
  - Before an invoice can be issued, PI or Research Admin completes an SD004 form to create a new customer or update existing customer details and sends the form to FFO for approval.
  - FFO uploads a copy of the signed form on eRA system under the "Invoice Information" tab.
  - Debtors create the new customer or update an existing customer on SAP.
  - PI sends FFO the supporting documents that confirm an invoice needs to be issued.
  - FFO verifies that the deliverables for invoicing have been met and completes the SD006 - Research Invoice Requisition form.
  - Where a funder paid the university without an invoice, FFO completes a SD007-Research Receipt Requisition form.
  - FFO uploads the form and supporting documentation to UCT eRA in the "Invoice Information" tab, triggering a notification to Debtors.
  - Debtors create an invoice and send it to the funder.
  - Where a funder requires invoices on their own template, PI/Research Admin follows the process to generate a UCT invoice via SAP, includes the SAP invoice number on the funder template, and attaches the SAP invoice when sending to the funder.

- **Spend and Claim:**
  - FFO requests a budget load from Central Research Finance (CRF) via UCT eRA post-awards module.
  - CRF checks if the contract payment terms align with the spend and claim mechanism, that the fund is set up with Revenue Increasing Budget (RIB)-off and Maintain Balance on.
  - Once all checks are done, CRF loads the requested budget percentage on SAP, aligning to the contract payment schedule, and informs FFO on eRA.
  - If the request does not pass the pre-checks, CRF returns the budget load request to the FFO for correction or additional details via eRA.

  - Once the budget is loaded, the PI can start incurring expenses in line with the project plan and funder terms.
  - FFO monitors the budget utilisation and claims back monies spent from the funder according to the contractual terms
- Expenditure of the funds is managed by the PI, department or research group Finance Officer, and the FFO with oversight from CRF.
- PI and FFO ensure that Procurement and HR processes against the project funds follow university policy.
- FFO submits system generated financial reports to the PI, at least monthly.
- SFO, in collaboration with the PI, prepares financial reports that are reviewed and approved by the AFM/FM before submission to the funder.
- Where applicable, FFO, in collaboration with CRF, coordinates internal or external audit review for the project.
- PI prepares scientific reports, submits these, and the financial and audit reports to the funder.
- Schedule of financial deliverables is monitored and tracked by FFO and the PI.
- Schedule of non-financial deliverables is monitored and tracked by the PI. Non-compliance with the contract deliverables is flagged by the PI .
- If there are budget changes (increase, award of supplemental funds, decrease in funding), the PI initiates a new eRA application for FFO review of the revised budget and any required revisions to the costing.
- PI to upload any draft agreement/s related to budget changes to researchcontracts@uct.ac.za for assignment to an LA for review and sign off. PI to provide RC&I administrator with the eRA reference number related to the agreement.
- No cost extensions (NCEs) and other non-finance related requests (e.g. change of PI, reporting deadline, etc,) are sent directly to researchcontracts@uct.ac.za for assignment by the RC&I administrator to an LA for drafting/review and sign off. The PI to provide the contracts reference number (UCT000xxx) of the existing agreement (the agreement under amendment) to the RC&I Administrator so that the amendment can be linked to the original contract.
- **Safety:**
  - PI ensures a safe and healthy work environment, compliance with all UCT's Health and Safety Policy, as well as South Africa's health and safety legislation.
  - PI ensures adherence to ethics and biosafety policies, where applicable.

D. PROJECT CLOSURE

- PI submits final reports (scientific, financial, and audit) to funder.
- FFO ensures that all funds are received from the funder, and all project expenses are paid.
- FFO ensures that unspent funds are returned or reallocated per agreement with funder.
- FFO closes project account (Fund) in SAP.
- FFO follows funder close out procedures.
- CRF ensures that all financial obligations are met and signs off on project closure for the financial part.
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4. Procedure: UCT as a sub-awardee

A. PRE-AWARD STAGE

- Prime institution identifies suitable funding calls and approaches UCT PI to be a co-applicant or the prime applies alone.
- UCT PI reviews eligibility, timelines (including internal deadlines), and submission requirements.
- UCT PI drafts and submits its part of the proposal documents as guided by the funder or prime institution with support from their department, the Faculty of Health Sciences Research Development team and / or central International Grants Hub (IGH) or Research Support Services (RSS), where applicable.
- UCT PI declares to the faculty which ethics and biosafety approvals are required for the proposed research, as well as resources required.
- UCT PI prepares the budget and the UCT full costing in collaboration with Faculty Finance Office (FFO), using approved templates.
- UCT PI submits approval form, via the UCT electronic Research Administration (eRA) pre-award module, to the finance and final faculty approver.
- Refer to Step-by-step | Research Support Hub for eRA form completion.
- Where completion of a due diligence questionnaire is required by the Prime institution as part of the funding application of the Prime Institution's DD processes, the PI or Department/Unit Administrator sends the form to the relevant office for completion and/ or sign-off, usually, CRF, RO, and RC&I.
- Depending on the questionnaire requirements, the office that provides final sign-off uploads the signed form on the 'In-coming' Due Diligence shared drive.
- PI attaches the necessary clearance, approval and/or exemption forms to the eRA submission. *Refer to the Pre and Post Award Guideline for detailed ethics and biosafety approvals.*
- RC&I facilitates sign off on any supporting documents required by the Prime Institution for submission of the application. UCT PI submits the proposal documents and due diligence questionnaire to the prime institution.
- Prime institution receives award letter or notification of funding approval and agreement from the funder, and provides UCT PI with a sub-agreement
- UCT PI obtains all permits, licences, returns and authorisations required for carrying out the research that UCT is responsible for.
- PI submits the agreement to researchcontracts@uct.ac.za for the RC&I administrator to allocate it to a LA. PI to provide related eRA reference number to RC&I administrator when submitting the agreement.
- LA reviews the agreement, captures contract details *(Primary funder, Contractual Partner, award value, research type, etc*) on the eRA system contracts module, and negotiates contract terms with the prime institution, where applicable.
- LA and the prime institution sign the agreement where applicable, or LA indicates institutional acceptance of the funder's terms via the funder's online system.
- LA marks the award as "Initiate Fund Opening via Faculty Finance" and then moves the record to "Completed in RC&I," on the eRA system contracts module.
- The UCT PI and FFO receive a system generated notification that the contract has been processed successfully, and an eRA post-awards module record has been opened.
- Stages B and C under procedure 3 are then applied.

- Note: for the purpose of procedure 4, the 'funder' in 3B and 3C refers to the prime institution.

5. Procedure: Sub-agreements issued by UCT

A. PRE-AWARD STAGE

Note: Individual due diligence forms are required once a project has been awarded and before formal work on the Project can commence. The steps below are relevant once an award has been made:

- PI receives award letter or notification of funding approval and agreement from the funder. PI submits the agreement to researchcontracts@uct.ac.za for the RC&I administrator to allocate it to a Legal Advisor (LA).
- Upon notice of award, RC&I sends the PI the UCT Due Diligence questionnaire for the PI to submit to the sub-awardee.
- PI, in collaboration with FFO, sends the UCT Due Diligence questionnaire to the sub-awardee.
- The questionnaire requires the sub-awardee to submit supporting documents for, and or explanation in relation to:
  - Latest audited AFS
  - Reporting templates to PI and/or project manager
  - Conflict of interest, fraud, whistleblowing policies and procedures
  - Income management policies and procedures
  - Cash handling policies and procedures
  - Procedures for goods and services procurement and payment, subsistence, fieldwork, conferences/workshops, consultants, subcontracts
  - Procedures for management and allocation of Staff costs
  - Equipment management procedures
  - Bullying, harassment, abuse and harm policy
  - Research Ethics and Integrity policy
  - Equity, Diversity, and Inclusion (EDI) policy
  - Data Management and Security policy
- Once received back, FFO reviews the financial questionnaire and supporting documents, ensuring
    - completeness of the submission in relation to required information and documents;
    - that the policies and procedures are not inferior to UCT's and the funder's policies and procedures; and
    - that the policies, procedures and audit report confirm an effective internal control environment.
- Based on the assessment, FFO allocates a risk rating and mitigating actions on the assessment form and submits the pack to CRF.
- CRF reviews the pack, including the non-financial responses, adds further mitigating actions on the assessment form, approves, and sends the assessment back to the FFO for submission to RC&I.
- Where necessary, CRF sends the non-financial submission to the expert unit (e.g, OIC, ORI) for further review and insertion of mitigating actions.

- CRF saves the supporting documents and completes the Due Diligence Schedule, indicating the final risk rating and validity of the due diligence assessment, on the 'out-going' due diligence shared folder.
- Validity of the due diligence assessment is dependent on the risk rating.
  - Level 1 (Low)= 3 years
  - Level 2(Medium)= 2 years
  - Level 3+ (High) = 1 year. For high-risk rating, CRF requests approval from Faculty Executive (Vice-Dean: Research/Dean) to proceed with the engagement.
- Where the primary funder has conducted a due diligence assessment, UCT may take the outcome of that assessment into consideration and may determine that a reduced or targeted assessment is sufficient. However, UCT remains accountable to the funder for the management of sub-recipient risk and reserves the right to conduct additional due diligence where deemed necessary.
- RC&I notifies the responsible office(s) that individual researcher due diligence is required. The responsible office coordinates completion of the required assessments for all relevant project personnel, including UCT staff and sub-awardee personnel where applicable.
- Where OIC input is required, RC&I will notify OIC. OIC assesses the submission and communicates with the PI and project personnel subject to individual due diligence requirements on additional actions required.
- PI drafts scientific deliverables to be incorporated in the agreement.
- PI reviews the budget request from the sub-awardee in collaboration with FFO and decides on payment terms according to the primary funder agreement.
- PI emails researchcontracts@uct.ac.za to request an LA to draft a sub-agreement. PI to provide any UCT or eRA reference numbers (UCT000****) to which the sub-agreement should be linked.
- PI provides the deliverables and payment terms of the sub-award to the LA.
- LA drafts the sub-award agreement, incorporating the scientific and financial deliverables, and ensuring that mitigating actions from the due diligence assessment are incorporated as clauses in the agreement.
- LA negotiates the terms of the contract with the sub-awardee, and both parties sign the agreement.
- UCT LA marks the record as "Completed in RC&I," on the eRA system contracts module.

B. POST-AWARD STAGE

- PI and FFO hold an onboarding meeting with the sub-awardee to discuss project compliance, reporting, and financial management.
- FFO and PI share tools and templates where these are specified by the funder.
- PI reviews progress reports, conducts site visits (where applicable), and monitors deliverables.
- FFO validates invoices, reviews expenditure reports, and ensures cost allowability.
- PI monitors adherence to ethical standards and data protection and consults the Office of Research Integrity (ORI) where necessary. PI, in collaboration with RC&I, IGH and ORI addresses performance and compliance issues, as well as implements and tracks remediation plans where necessary.

- PI to provide contract reference number (UCT000xxx) and to send a request to RCI administrator (researchcontracts@uct.ac.za) for assistance where there is non-compliance with a contractual term or where PI requires guidance on interpretation of contractual clauses.

C. PROJECT CLOSURE

- PI, in collaboration with FFO, collects final scientific and financial reports from sub-awardee, ensuring completeness and accuracy.
- FFO reconciles financials, confirms all expenditures are accounted for and are allowable.
- FFO consolidates sub-awardee financials to the overall project financial report.
- PI and FFO archive all sub-award documents per institutional and funder policies.
- PI assesses and records sub-recipient's contribution and compliance and reports to the funder

6. Roles and Responsibilities

Role	Responsibilities
Principal Investigator (PI)	- Develop and submit research proposals - Engage collaborators and manage scientific deliverables - Ensure compliance with ethical, biosafety, and research integrity standards

	- Ensure compliance with funder, contractual and due diligence requirements applicable to the project. - Oversee project implementation and reporting - Manage sub-recipient relationships and performance
Research Office (RO) / IGH	- Disseminate funding opportunities - Support proposal development and submission where required - Monitor funder-specific post-award compliance obligations. - Assist with pre-award vetting and institutional approvals
Health Sciences Research Office	- Disseminate funding opportunities - Support proposal development and submission where required - Review and approve Health Sciences proposals through eRA
Deputy Deans for Research (non-Health Sciences)	- Review and approve proposals from their faculty via the eRA pre-award system
Research Contracts & Innovation (RC&I)	- Review and negotiate legal terms of agreements - Ensure incorporation of due diligence findings into contracts - Provide institutional legal sign-off at application and contracting stages -Submit proposals to the funder in cases where the funder requires institutional submission - Manage amendments and any other agreements needed (e.g. NDAs, SLAs) - Oversee sub-recipient agreement drafting and signature. - Coordinate award-triggered compliance activities. - Initiate institutional, partner and individual due diligence processes. - Notify relevant support offices of due diligence and compliance requirements.
Central Research Finance (CRF)	- Conduct due diligence on funders and sub-recipients - Review costing and budget alignment - Approve budget loads and financial compliance - Conduct and coordinate partner/sub-awardee due diligence assessments. - Maintain financial due diligence records and risk ratings. - Coordinate audits and financial close-out
Faculty Finance Office (FFO)	- Support development of, and approve, proposal budgets - Provide end-to-end financial management support - Prepare and submit financial reports - Monitor budget utilisation and compliance
Office of Research Integrity (ORI)	-Support PI in addressing matters related to adhering to ethical standards and regulations. - Advise on required clearances and licences
Office of Inclusivity and change (OIC)	-Assess the submission of individual researcher due diligence and communicate with the PI and project personnel subject to

	individual due diligence requirements on additional actions required.
UCT Ledgers & Treasury	- Process fund and cost centre creation in SAP
Debtors Office	- Issue and manage invoices - Process receipts and maintain customer records

7. To be read with

- UCT Pre and Post Awards Guidelines
- University Finance Policy
- Procurement Policy
- University Delegation of Authority (GEN002)
- Funder Guidelines (e.g., SAMRC, NIH, Gates Foundation, Wellcome Trust, etc.)
- Fieldwork Guidelines
- UCT Code of Ethics for Research Involving Human Participants
- UCT Policy for the Responsible Conduct of Research
- Research Ethics Code for Use of Animals in Research and Teaching
- UCT Policy and Procedures for Breach of Research Ethics Codes and Allegations of Misconduct in Research

8. Approved by

Name	Designation	Date and Signature

9. Revision History

Revision Date	Approved by

Process Flows

1. Final- RPN Processes - Pre-Award-2.pdf
2. Final- RPN Processes - Post-Award (July 2025).pdf
3. Final- RPN Processes - Project Closure Process.pdf
4. Final- RPN Processes - Sub-Award_ Consortium Partners.pdf
5. Final- RPN Processes - Human Ethics-2.pdf