PMA

ZONAL COMPETITIVE AGRICULTURAL RESEARCH AND DEVELOPMENT FUND

SAARI Information
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Resource Centre

Organisation, Procedures And Guidelines for Proposals

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THE REPUBLIC OF UGANDA



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ZONAL COMPETITIVE AGRICULTURAL RESEARCH AND DEVELOPMENT FUND

Organisation, Procedures And Guidelines for Proposals

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PREFACE

This manual has been designed to assist individual scientists, public and private agricultural research institutions, universities, Non-Governmental Organisations and agricultural business concerns in their applications for research grants under the Zonal Competitive Agricultural Research and Development Fund (ZCARDF) of the National Agricultural Research System (NARS) of Uganda. The contents in the manual have been divided into 11 sections as follows: -

1) Introductions gives reasons for instituting the scheme
2) Objectives for which the scheme is established and the scope of support given under the scheme.
3) The governance structure on which the scheme hinges. In this regard, the functions of the two key bodies (i.e. Zonal Agricultural Research and Development Steering Committee (ZARD-SC) and the Zonal Competitive Agricultural Research Fund Secretariat (ZCARDF-SEC) associated with the schemes' operation are spelt out. The other sections covered are:
4) The types and sizes of grants given under the scheme
5) The procedures to be used when formulating and submitting agricultural research proposals
6) The process to be adopted when reviewing research proposals
7) The procedures to be followed when grants are awarded
8) The financial administration and procedures under the scheme. Under this, cost coverage, financial responsibilities of grantees, submitting institutions and the grantor have been given.
9) Procedures for Reporting, Monitoring and Evaluation
10) Zonal CARDF Indicative timetable
11) Zonal CARDF Publication and Dissemination.

This manual is developed to facilitate increased participation by all stakeholders in the scheme, and also the development and implementation of agricultural research projects that would help the country attain the goals of the Plan for Modernisation of Agriculture (PMA) and the Poverty Eradication Action Plan (PEAP).

1. INTRODUCTION

1.1 Agricultural Sector Issues and Government Strategy

Agriculture forms the basic engine of economic growth for Uganda. Low agricultural productivity is at the heart of Uganda's economic, social and environmental problems. Agriculture has grown steadily at a rate of over 4% per annum over the past ten years or so. However, there are concerns that this rate cannot be sustained without structural reforms to the sector. This realisation is being backed by the adoption of clear policies, economic support and guidance.

Recent agricultural growth has taken place at a time of profound re-orientation in the role of the public sector in the agricultural economy. This re-orientation has involved significant liberalisation of the agricultural economy and complementary institutional reforms that right0sized, privatised and decentralised public agricultural institutions. It has also resulted in a reformulation of policy so that poverty eradication is not the overriding objective of GoU agricultural development efforts.

Sustainable development requires rapid technical progress in agriculture. The inadequate diffusion and limited impact of improved agricultural technologies is of great concern to the Government of Uganda and other stakeholders. Increase in agricultural productivity can not be fully achieved without (i) the benefits of safe responsible use of cutting –edge science, (ii) advances in technology development, (iii) capacity building, (iv) technology dissemination, (v) policy research and implementation to promote the development, adaptation and dissemination of new technologies, (vi) a genuine and deliberate coordination and involvement of all stakeholders concerned at all stages of the "strategic agricultural research[1] to extension" process. This will require a de-fragmentation of research programmes, increased and sustained investment in the agricultural sector and effective financial resource use.

In recognition of the need to transform agriculture, the Government formulated a ***Plan for Mordernisation of Agriculture (PMA).*** The PMA mission is "eradication of poverty by transforming subsistence agriculture to *commercial agriculture*". Agricultural research and development has a central role in bringing about the technological change necessary to enable poor farmers to work their way out of poverty.

1.2 The National Agricultural Research Policy, 2003

Although the Government of Uganda and others have made significant investments in the generation and transfer of improved agricultural technologies, and although

considerable achievements of the national agricultural research system have greatly contributed to Uganda's development, the NARS is straggling with sever constraints.

First dependable access to operational funding is a perennial problem. This is not only a question about the level of funding, but also about its predictability and timing. In agricultural research, a short delay in funding often pushes planned activities from one season or year to another, thereby greatly reducing the productivity of the human and capital assets involved. Worse still, a funding shortfall can mean that an experiment that had been put in place at great expense cannot be completed. Inadequate access to operational funding is a particularly severe problem at universities and Public Agricultural Research Institutes (PARIs), where much of the human resource trained in agricultural sciences is based. The private sector and civil society are completely excluded from accessing resources and participating in publicly supported agricultural research. As a result, synergies between higher education and research / development, and private and public sector remain under-utilised.

Second, funding is not linked closely enough to performance. As a result, incentives to perform are often inadequate and resources are wasted on poor performers at the expense of those who could deliver more.

Third, agricultural research and development is not sufficiently demand-driven. Even when research is scientifically sound and well executed, it may not be relevant to farmers' needs.

Fourth, the adoption of improved technologies is often constrained by factors that go beyond research and extension. Access to seeds, planting materials, and complementary inputs are often a bottleneck.

To address these problems, the framework provided by the PMA was used in the production of a National Agricultural Research Policy. The basic aim of the policy is to develop a demand-driven, client-oriented and farmer-led agricultural research service delivery system, particularly targeting poor men and women.

The **Vision** for the agricultural research system is:
"A market-responsive, client-oriented and demand-driven national agricultural research system comprising public and private institutions working in tandem for the sustainable economic growth of Uganda"
In order to achieve the vision, the mission for agricultural research is
"To generate and disseminate appropriate, safe and cost-effective technologies, while enhancing the natural resource base"

The key principles of the research policy are:

- Responding to market opportunities;
- Empowerment of stakeholders;
- Maintaining scientific integrity and professional excellence;
- Decentralisation of agricultural research services;
- Promoting the participation of the private sector, civil society and farmers;

- Separating public funding from the delivery of research services;
- Mainstreaming gender issues and concerns;
- Mainstreaming social, human and environmental concerns; and
- Quality assurance of agricultural research services.

The agricultural research policy recognises that opening up provision of agricultural research services to competition may increase the efficiency and effectiveness of agricultural research. This requires separating public funding from the delivery of research services. The National Agricultural Research System (NARS) now explicitly recognises the need for plurality in the provision of services.

As one approach to implement the principles and objectives of the policy, the Government of Uganda has been working with development partners and other stakeholders to establish competitive funding mechanisms. The general idea is to make funding more dependable, performance-based and demand-driven through competitive grants are disbursed in a timely manner to those who best respond to client needs.

2. THE ZONAL COMPETITIVE AGRICULTURAL RESEARCH AND DEVELOPMENT FUND (ZCARDF)

2.1 Objectives and scopes

The Competitive Grant Scheme seeks to harness more effectively the existing research capacity that directly or through contributions to other research, brings significant benefits to end-users. The NARS policy calls for decentralisation of research on the basis of agro-ecological zones. Different from the National Competitive Agricultural Research Fund, the Zonal Competitive Fund will focus on critical research areas that are specific to a given zone of the country. To a large extent, research supported by the Zonal Competitive Fund will support the NARS effort through critically understanding farming systems, an activity that will greatly enhance a more accurate research priority setting. Zonal research supported under this scheme is expected to be more adaptive in nature, in order to integrate research outputs from different service providers into the farming systems of the zone. By this, the Scheme will contribute effectively to national development objectives such as modernisation of agriculture and poverty eradication. This manual explains how the Zonal Competitive Agricultural Research and Development Fund will be established and operated. It provides procedures and guidelines for implementation of the Fund.

The objectives of establishing the Zonal Competitive Fund are the following:

i) Strengthening the national agricultural research system (NARS) through a better involvement of different stakeholders focusing on zonal issues;
ii) Promoting research partnerships and collaboration between national and international, private and public institutions to maximise complementarities

among different institutions, and disciplines in the conduct and management of agricultural research;

iii) Making research more demand-driven by involving clients are the grassroots in setting priorities and financing, executing and evaluating research;

iv) Improving research quality and innovation by selecting projects based on rigorous technical review of scientific merit, sound work plans and expected results to ensure relevance to different agro-ecological zones;

v) Increasing total funding for research by mobilising funds from farmers, industry and other resources;

vi) Strengthening the contribution of universities in addressing agricultural problems of zonal importance by facilitating the participation of faculty members and post-graduate students in demand driven agricultural research projects;

vii) Supporting the introduction of modern technologies and innovative ideas into the zonal research system.

In addressing these objectives, the Competitive Fund shall provide support for the following activities: -

i. research that serves end-users indirectly through contributions to other research ('basic research').
ii. research and development activities, which serve end-users directly through improved technologies generated, adapted, piloted and transferred to them.
iii. research that will make a positive contribution toward national economic and social development through investment in agriculture.
iv. international research collaboration.

2.2 Zonal Priorities as the Basis for CGS

There shall be zonal agricultural research priorities determined through a process of aggregation, synthesis and analysis of the research needs emerging from stakeholder-led structures established to identify farmers' demands, needs and opportunities and the requirements of other stakeholders. Many times priority setting exercises for agricultural research tend to ignore areas of natural resources management such as land and forest issues because the grass-root communities do not usually articulate their demands in these areas as well as they do for crops and livestock production. The priority setting process will ensure that stakeholders are well sensitised to cover all aspects of their farming systems including natural resource management to ensure that these vital areas are not left out. Through defined processes, the priorities shall regularly be refined and converted into expressions of interest and tender notice or strategic objectives as a basis for developing and supporting creative, innovative and collaborative research proposals.

3. GOVERNANCE AND MANDATES

3.1 Zonal Agricultural Research And Development Steering Committee

The policies and priorities of ZCARDF are determined by the Zonal Agricultural Research and Development Steering Committee (ZARD -SC) under the overall guidance of the National Agricultural Research Organisation Council (NAROC). Members of the Steering Committee are elected to office in their personal capacity. They should be persons above 18 years of age, of good moral character, sound mind, high integrity and respected by society, and should not have been convicted of a criminal offence. Elected persons should be knowledgeable and interested in agricultural issues in the zone, available for the steering committees business and should be able to read, write and express themselves in English.

Composition

The Composition of the ZARD-SC will be as follows:

i) A representative of District Secretaries for production

ii) A representative of District Chief Administrative Officers

iii) A representative of District Directorates of production

iv) A representative of District NAADS Coordinators

v) Four farmers' representatives (nominated by the District Farmers' Fora and Associations, at least two of whom shall be women)

vi) One private sector/ agro-industry representative (elected/ nominated by the private sector/ agro industry associations operating in the zone)

vii) One NGO representative (elected/ nominated by NGOs operating in the zone)

viii) Two agricultural research scientists (could be from within or outside the zone and one shall be a woman)

ix) Zonal Fund Manager (ex-officio), who will be the secretary

For categories (i) to (vii), each district in a given zone will send one representative to an electoral college to be facilitated by the ZARDI Director, where each category will select the member(s) to represent the zone. The committee shall serve for a period of 3 years, but individual members are eligible for re-election. The two agricultural scientists will be nominated by members of the Steering Committee (I to vii) at their first meeting.

Functions

The role of the ZARD-SC is to represent stakeholders and to ensure adherence to overall policy with respect to zonal agricultural research including overseeing the operation of the ZCARDF. The specific functions of the ZARD-SC are to:

- Set zonal agricultural research priorities;
- Approve zonal research plans and programmes;
- Approve the specific research areas to be mentioned in the calls for proposals and to be given preference in funding;
- Mobilise and allocate resources from district sources
- Ratify competitive Grant Scheme accounts and annual reports;
- Ensure implementation of zonal agricultural research plans and programmes;
- Follow up application of agricultural research results;
- Monitor the effectiveness and integrity of the grant-making process.

3.2 *Zonal Competitive Agricultural Research and Development Fund Secretariat*

The Zonal Competitive Agricultural Research and Development Fund (ZCARDF) is managed by the Zonal Competitive Agricultural Research and Development Fund Secretariat (ZCARDF _SEC), headed by the Zonal Fund Manager responsible for the day-to-day administration and management of the Fund. The Zonal Fund Manager and key staff of the secretariat are appointed by the Council to provide the necessary legal backing to manage public funds. The Zonal Agricultural Research and Development Institute (ZARDI), at no cost, shall provide office accommodation and staff functions for the Fund Secretariat, but all direct cost are charged to the ZARF overhead. The Fund Secretariat is tasked to:

- prepare and submit budgets, work plans and annual reports of the secretariat for ZARD-SC's approval;
- on behalf of the ZARD-SC, organise stakeholder meetings for purposes of setting and / or updating zonal research priorities
- identify, in consultation with stakeholders, priority research areas for ZARD-SC approval;
- disseminate information about the zonal competitive grant scheme and its Fun and publicise calls for proposals;
- ensure that the proceeding of the ZARD-SC are well documented and distributed to all districts in the zone, and feed back to the ZARD-SC is obtained in writing;
- receive and register applications and acknowledge receipt to applicants;
- carry out administrative and technical pre-screening of the proposals to ensure that prescribed format for CGS application and procedures are adhered to;
- prepare and submit proposals for assessment by the technical committee;
- prepare and submit proposals for peer review;
- work with the chairperson of the Technical sub-committee to ensure transparency and objectivity of the proposal assessment process;

- summarise assessors' reports for selection of proposals;
- communicate with applicants on the status of the processed proposals;
- prepare and sign contracts of supported proposals;
- disburse funds to grantees;
- receive, record and review progress and final reports on funded projects;
- monitor and evaluate projects in consultation with the recipient organisation;
- approve minor modifications to approved projects and submit major modifications for ZARD-SC's consideration;
- stop disbursement when warranted by failure to submit reports or adverse monitoring findings;
- organise training in the preparation of proposals, and other aspects of the project cycle, as needed;
- liaise with stakeholders, including potential new sources of funding;
- Propose changes to operational manual as required for SARD-SC approval.

Proposal Assessment Technical Sub-Committee

The ZARD-SC will appoint a sub-committee to serve for a maximum period of three years purely for purposes of carrying out technical assessment of research proposals. This committee will consist of the following;

i) One agricultural scientist affiliated with a ZARDI

ii) One agricultural scientist affiliated with a university

iii) One agricultural scientist not affiliate with any of the above (e.g. from the private research entity or a retired scientist)

iv) One expert in public policy e.g. NAADS, District Production Department)

v) Two non-scientist experts in aspects of Uganda agriculture (e.g. NGOs, Agribusiness).

This team will sit twice a year to consider research proposals and will be supported by the Zonal Fund Manager and staff of the secretariat. The Fund Manager will serve as Secretary to this sub-committee. Members of the Technical Committee will decide on the Chairperson at their first sitting.

4. TYPES AND SIZE OF GRANTS

The ZCARDF will support three types of research and development activities. First and mainly, the scheme will provide funding for applied and adaptive research that is exceptionally innovative, response to new pressing needs or opportunities, brings together new partners, or cuts across several opportunities, brings together new

partners, or cuts across several disciplines and commodities in such a way that it has not been catered for by the existing priority research programmes supported under the National Competitive Grant Scheme despite its merits. The scheme is not intended to be a "second chance" for proposals rejected by other funded research programmes.

Secondly, the scheme will provide support for downstream research and development activities such as pilot projects that demonstrate the potential of improved technologies or develop research results into commercial products.
Thirdly, it will provide funding for basic research that is targeted at solving problems of zonal importance and has clearly identifies users (end-users or applied researchers). Research by post-graduated students can be supported only when it satisfies these conditions, for instance by being a competent of a concerted research effort on a topic of great relevance to the agricultural development of the zone.

The upper limit of grants approved by the Scheme per project shall be 50,000 USD dollars.

5. FORMULATION AND SUBMISSION OF PROPOSALS

5.1 Calls for Research Proposals

The Fund Secretariat will advertise calls for research proposals in Uganda's newspapers twice each year (i.e. January and July).Copies of call for proposals will be circulated widely, including to PARIs, Universities, selected Non-Governmental Organisations, Private Research entities, industrial Organisation, Farmers/ Commodity associations, and the District Production Department and NAADS Coordination offices. The calls for proposals will also be posted on the NAROS website. Appendix 1 shows an indicative announcement for the call for proposals.

The Fund Secretariat should receive proposal submissions in response to the January and July calls by 30 March and 30 September, respectively. Only submission received or postmarked by the deadlines are accepted.
Applicants will be informed of decisions by 30 June and 31 December of the same year for January and July invitations, respectively. For January invitation, grants will be available from July 1 of the same year, while grants for July invitations will be available from January 1 of the following year.

5.2 Eligibility

The Applicant(s) should be:

i. Resident in Uganda (at least the principal investigator should be resident in Uganda)

ii. Qualified to undertake the proposed research and development activity. For research, the applicant should demonstrate capacity to conduct research and

deliver the stated results in the proposal, and post-graduate students, should be closely supervised by an adequately qualified scientists. In the case of development activities, indication of competence should be provided.

iii. Registered with the competent authority as an agricultural research service provider.

5.3 *Relevance*

The proposed research or development activity should be relevant to the development needs of the zone as indicated by: -

i. Priority research area for funding provided by the Competitive Grant Scheme;

ii. A Competitive Grant Scheme call for proposals on the topic in question; or in rare cases;

iii. Ex-ante impact assessment that score high economic returns to client in the zone.

5.4 *Proposal Format*

Applicants must read the relevant portions of the Zonal Competitive Agricultural Research and Development Guidelines, and if needed, are advised to seek clarification from the Fund Secretariat. Research proposals should be formulated and submitted according to the formats provided in Appendices 2 and 2a. Specific Guidelines to assist proposal writers are given in Appendix 2b.

Applications shall be prepared in English and typed. The quality of the document must be good enough to enable the Fund Secretariat make copies. An electronic copy of the proposal shall also be required. All research proposals will be recorded filed and treated a confidential documents by the Fund Secretariat.

5.5 *Institutional Endorsement*

The appropriate senior administrators must endorse submissions by postgraduate students and staff members of research institutions. The endorsement must indicate that resources (other than those requested from the ZCARDF) are available to support the proposed research and that the proposed activities in accordance with the institution's policy and priorities. In the case of collaborative agreements or large proposals with several sub-projects, several endorsements may be needed.

6. REVIEW OF PROPOSALS AND AWARD PROCESS

6.1 pre-proposals

Before embarking on writing a full research proposal, applicants shall submit two-five page pre-proposals or expression of interest. A small working group operating under the Secretariat will review the pre-proposals and advise applicants on their prospects for receiving funding as well as on some of the main points applicants should consider when developing their pre-proposals into full proposals. The format for pre-proposals is provided in Appendix 2. Except under exceptional circumstances, no funding will be provided for the purpose of developing proposals. Pre-proposals are encouraged and reviewed as a service to prospective applicants, with intent of improving proposals and reducing waste associated with the development of proposals that are unlikely to be funded by the scheme.

The deadline for the pre-proposals shall be two months prior to the deadline of the full proposals. The Secretariat shall send its non-binding feedback to prospective applicants within ten working day following receipt of the pre-proposals.

6.2 pre-screening

The Fund Secretariat will pre-screen all research proposals received for compliance with the prescribed procedures. The purpose of this administrative pre-screening is to eliminate from further consideration proposals that:

- were not submitted by the due date;
- deviate significantly from the prescribed format;
- omit essential required information;
- do not include the required supporting documents; or
- request funding in excess of the maximum limit of CGS.

The Secretariat shall perform administrative pre-screening within ten working days after the closing date for receipt of proposals. The decision by the Secretariat during administrative pre-screening shall be reported to and reviewed by the Proposal Assessment Technical Sub-Committee, which may if needed, reconsider these decisions and advise the Secretariat on how to proceed in the future.

6.3 Independent Technical assessment

Proposals that pass pre-screening shall be sent to all members of the Proposal Assessment Technical Sub-Committee. Where technical expertise does not exist within

the technical committee, the proposal will be sent to at least two peer reviewers who are specialists in the subject are of the proposal. The guidelines for assessors are given in Appendix 3a, the criteria and the weights to be used in rating proposals of various types are tabulated in Appendix 3b, and the form to be used for the assessment is attached as Appendix 3c. The Fund Secretariat shall make reasonable efforts (including seeking replacement of assessors when needed) to secure two independent assessments, but if this fails, the Proposal Assessment Technical Sub-Committee shall make selections based solely on the members' assessment.

While the identity of the assessors shall be kept confidential by the Secretariat and the Technical Committee, the content of the assessments and especially substantive comments on how to improve the proposed research shall be made available to principal investigators.

6.4 Selection of proposals

The Secretariat will select research proposals and approve grants for their implementation, taking into consideration assessment reports or comments from the Technical Committee members and peer reviewers, as well as specific priorities mentioned in the call for proposals and general priorities approved by ZARD-SC. To assist the decision-making process on the proposals, the Secretariat will compile Technical Committee members' and peer reviewers' rating of proposal and compute rankings. The Proposal Assessment Technical Committee reserves the right to reject highly rated proposals, which have appropriate methods but little relevance or projects with relevant objectives but scientifically inappropriate design.

In most cases, the Technical Committee shall accept proposals, reject them entirely, or request applicants to revise their proposals for re-submission during the next funding cycle. The Technical Committee shall not cut budgets and rewrite proposals to fit the reduced resources. Otherwise good projects with inflated budgets shall be rejected and applicants notified of the reasons. Acceptance with a budget cut shall be used only rarely, typically in a situation where the proposed research has several components and the proposal specifically indicates that some of the components can be completed irrespective of whether the others are funded or not.

The Technical Committee shall justify and document its decisions, especially those that significantly differ from the rankings based on ratings. The Secretariat shall inform applicants of the outcomes of the selection process an, if so requested by applicants, explain the justifications used. The chairperson of the technical committee shall present the proposal assessment report to the ZARD-SC for approval.

6.5 Award and grant conditions

After the decision of the Proposal Assessment Technical Sub-Committee and approval by the ZARD-SC, the Secretariat shall initiate contract procedure fro proposals

selected for support. On signature by all parties, a formal agreement is entered into by the parties, namely the Zonal Fund Manager (on behalf of the NAROC), the principal investigator, and, if applicable, the institution. A copy of the contract is available in Appendix 4.

7. FINANCIAL ADMINISTRATION AND PROCEDURES

7.1 Cost Coverage

Applicants are advised to take great care in developing their budgets. Any unnecessary expenditure, particularly for travel and per diem, will greatly impede the possibility of selection. Applicants should take not of the following:

- The scheme covers only direct research costs, and doe not support salaries or allowances, except in the cases listed below
- An overhead allowance of 8% and 15% of the total budget is payable to the grantees institutions/ department/ organisation for field and laboratory based research respectively.
- Stipends to support post-graduate students are permissible; no allowances can be paid for those who receive the stipends.
- Faculty members who co-ordinate major research projects and involve post-graduate students can be paid per diem allowances for supervision.
- Well justifies travel costs, including costs of oversees travel, are tenable under the scheme.

7.2 Financial Responsibilities and Procedures

i) The administration and management of grants will follow procedures of the submitting institution. Authorised officers within the institution will authorise payments. The institutions will use their normal regulations and procedures for determining payments for travel, supplies, etc. except as they may conflict with the ZCARDF regulations and procedures, in which case ZCARDF procedures will apply.

ii) Within the PARIs, the administration and management of grants revised by PARI scientists will follow established procedures of the PARI using its accounting documents, although funds from the ZCARDF will be kept discrete from the other PARI accounts. The Director of the PARI will authorise payments, on acceptance of progress and annual reports.

iii) For self-employed investigators not affiliated with the Universities, research institutions, credible NGOs and private companied etc., the grant funds will be

managed by the Zonal Fund Secretariat, which will be the institution of reference.

iv) Financial reporting shall be part of the reporting requirements and will follow the guidelines and format provided in the Appendix5. The Finance Officer of the institution shall sign the expenditure reports, along with the principal investigator. The Fund Secretariat will receive all financial documents from the institutions and individuals check them for accuracy, and process payments.

7.3 Disbursement and Accounting for Funds

i) Upon receipt of the completed research grant forms from the grantee, the Fund Manager will authorise the release of 70% of the approved first year's budget for the implementation of the project. Grant disbursements will be made to the Head of the submitting institution, who will in turn release funds to the principal investigator for project implementation as and when necessary.

ii) The principal investigator shall submit a statement of actual expenditures for each three-month period, together with a request for the next period, according to the project work plan and budget.

iii) After the initial advance, disbursements will be released only on acceptance of reports. Failure to provide a satisfactory account of expenditure may result in the immediate suspension or termination of the funding and the refund to the ZCARDF of any fund which, in the opinion of the Secretariat have not been satisfactorily accounted for.

iv) The Fund Secretariat and other audit teams reserve the right at any time to inspect the financial details relating to ZCARDF funded projects.

v) Any equipment/ material purchased from the ZCARDF grant shall remain the property of the NARO Council at the end of the project until the Council decided otherwise.

vi) In the case of development projects, the ZCARDF shall have a joint ownership with the grantee of any equipment / materials commercialised.

vii) On completion of the project, any unspent balance from the fund must be refunded to the Fund Secretariat.

8. REPORTING

8.1 Progress and Final Reports

The Principal investigator shall submit to the Fund Secretariat, progress report every three months from the date of commencement of the project.

Upon completion of the project, a financial statement, two bound copies and an electronic copy of the final report shall be submitted to the Fund Secretariat. This report should cover the life of the project and stress achievements, results and likely impact. A list of publications should be appended. Post-graduate students should submit a copy of the thesis.

All reports will be examined for completeness. Reports will be reviewed for technical progress and achievements against the milestones, which were included in the proposal and therefore form part of the contractual agreement. Financial expenditures will be scrutinised against the budget.

8.2 Sanctions

Progress reports are due 15 days after the end of each three-month period. If the progress report is not received within two weeks after the due date, the principal investigator/ Head of submitting institution will be notified to suspend disbursement of fund until the report is received. The Fund Secretariat will not approve further disbursement of grant funds until the situation is satisfactorily remedied.

8.3 Force Majeure

i) If performance of the contract by either party is delayed, hindered or prevented, or otherwise frustrated by reason of ***force majeure*** (civil commotion, fire, flood, action by any government or any event beyond the reasonable control of the party affected) then the party so affected will promptly notify the other party in writing, specifying the action of the *force majeure* and of the anticipated delay in the performance of the contract.

ii) From the date of that notification (i.e. (i) above), the Fund Secretariat may at its discretion either terminate the contract immediately, or suspend the performance of the contract for a period not exceeding six months.

iii) In the event of the contract being terminated by reason of *force majeure*, the principal investigator / submitting institution of the project will submit an account in writing to the Fund Secretariat. Such an account should take into consideration the amount claimed, all fees and costs properly incurred or committed by the principal investigator / submitting institution in relation to the contract, which cannot be recovered, and any outstanding advances made.

iv) If payments are within the financial limit, and not subject to dispute, the Secretariat will pay all sums due and outstanding under the terms of the contract up to the date of termination.

9. MONITORING AND EVALUATION

Routine monitoring of research projects will be done by the Secretariat, based on progress reports submitted by the principal investigator of the research projects. The Secretariat will undertake spot-checks to ensure accountability. In addition, substantive monitoring and evaluation visits by scientists/ experts knowledgeable in the field of study of the project shall be undertaken periodically.
During such visits, the following will be reviewed:-

i) Progress in the implementation of projects;

ii) Changes that can be made for those projects that appear to be in trouble;

iii) Whether the reports reflect reality and to gain information to pass on to others as to how to conduct a successful project.

Experts appointed by the Secretariat shall review all progress and final reports.

10. ZCARF INDICATIVE TIMETABLE

The indicative timetable of the ZCARDF is provided in Appendix 6.

11. PUBLICATION AND DISSEMINATION

The ZCARDF encourages grantees to publish their results in scientific journals and extension materials. Publications in peer-reviewed international journals and advisory services support information provide important support for researchers seeking new funding from the CGS. Such publications should be submitted as part of a progress or final report where possible.

Financial contribution from the ZCARDF should be acknowledged in publications based on research supported by the fund as follows: -
This research was supported (in part) by (name of the zone) Competitive Grant Scheme of Uganda.

Appendix 1: Indicative Call for Proposals
Agricultural Research Grant Award (Period and Year)

The (name of the zone) Zonal Competitive Agricultural Research and Development Fund operated by the National Agricultural Research System of Uganda invited research and development proposals for consideration for the Agricultural Research Grant Award (period and year).

The objective of the scheme is to promote research with substantial benefits to farmers and other end-users either directly or through contributions to clearly identified research activities. The scheme is also open to pilot activities that develop research results into commercial products or demonstrate the potential of improved technologies. In (period and year), proposals are especially called from the following areas:

- Area 1
- Area2
- Area3

The scheme gives preference to concerted efforts to develop solutions to priority problems, with clear articulation on who the clients are and how the results will be disseminated to them or used by downstream research. Scientists (including post-graduate students) are encouraged to form multidisciplinary teams and to develop proposals in consultation with end-users.

Before devoting significant resources to develop proposals, applicants are required to write short pre-proposals to get feedback on their prospects of getting support. The closing date for the pre-proposals is February 01 and August 01 each year.

The format for the research grant application, guidelines for proposals and pre-proposals and the evaluation criteria used to assess proposals can be obtained from:

1. The Fund Secretariat, (..... ZARDI)
2. Deans of Agriculture-related faculties at Universities
3. Directors of all Public Agricultural Research Institutes
4. Directorates of Production at District Headquarters
5. NAADS offices
6. District Farmers Fora offices

Closing date of grant application: 5:00 pm of March 30th (January invitation) or September 30th (July invitation)

Appendix 2: Format for Pre-Proposals

A. TITLE PAGE

i. Title
ii. Principal investigator and contact details
iii. Submitting institutions and contact details
iv. Signature of Principal investigator
v. Project duration : Start date _____Completion date_____
vi. Expected Total cost

B. EXECUTIVE SUMMARY

I. Project Description – (maximum of one page)
II. Justification
III. Purpose of the study
IV. Objectives
V. Expected outputs
VI. Innovative Aspects
VII. Partnership Approach
VIII. Plans for technology transfer / dissemination of results
IX. Anticipated benefits and their distribution

C. CV of principal investigator

To be submitted

Appendix 2a: Format for Full Proposal

A. TITLE PAGE

i. Title
ii. Principal investigator and amount (%) of time to be spent on this project
iii. Submitting institution, contact address
iv. Investigators: Names, qualifications and expected time commitments (%) of all involved
v. Duration of project: Start date and completion date
vi. Budget amount (Total Figure only)
vii. Signature of Principal investigator
viii. Authorising Signature (Dean of Faculty/ Director of Institute/ NGO/ Company)

B. EXECUTIVE SUMMARY

i) Project Description – Maximum of one page
ii) Justification
iii) Innovative Aspects
iv) Partnership Approach
v) Plans for technology transfer/ dissemination of results
vi) Anticipated benefits and their distribution

C. DETAILED PROJECT PROPOSAL

i) Background and Justification
- including Literature Review
- status of the project, it part of on-going project, etc.

ii) Detailed project description including objectives and expected outputs
iii) Work plan (phases etc.)
iv) Detailed Budget
- including other sources of funding

v) Monitoring
- Benchmarks, key indicators and monitoring scheme

vi) References cited. (Bibliography)

D. CV OF INVESTIGATOR(S)

CV of Principal Investigator and other collaborators

Appendix 2b: Guidelines for Preparing Full Research Proposals

The following guidelines are to be used in preparing full research proposals:-

A. TITLE PAGE

i. Title

- Keep the title of the project short and simple (maximum of 120 characters).
- The title should clearly reflect the objectives of the proposed project.

ii. Principal investigator

Provide your name, qualifications (degrees/diplomas), and the amount of time to be spent on the proposed project.

iii. Submitting institution

Provide the name and address of you institution as well as capacity to support the project (e.g. laboratory and field facilities, field equipment etc.)

iv. Investigators

Provide information of investigators indicating principal co-investigators, institutional affiliation, qualification, responsibility and expected time commitments (%) under the proposed project.

v. Budget Amount

Provide total figure only

vi. Duration of project

State the Start and completion date of the project

vii. Signature of Principal investigator

The principle investigator should append his/her signature to the research proposal before submission

viii. Authorising Signature (Dean of Faculty/ Director of Institute/ NGO/ Company

The Head of submitting institution is the authorising signatory and should endorse the research proposal before submission.

B. EXECUTIVE SUMMARY

The summary should be sufficiently informative and should cover information given in the background, justification, objectives and research plan.

i. Project Description

This should give a brief description of the project (max. length one page).

ii. Justification

This should provide a summary of why the proposed project should be undertaken.

iii. Innovative Aspect

Provide information on new ways, if any, of addressing identified problem(s) of the proposed research project or, new findings from the proposed project, which will help address identifies the problem.

iv. Partnership Approach

Partners (local and international) to be involved in the implementation of the project and possible benefits, id any, to be derived thereof.

v. Plans for Technology transfer/Dissemination of Results

A well laid-out plan(s) of how technology/research to be generated will be transferred to end-users.

vi. Anticipated Benefits and their Distribution

Provide information on the benefits to be derived from the execution of the project and how they would be distributed among participating scientists and institutions as well as end-users.

D. DETAILED PROJECT PROPOSAL

i. Background and Justification

As background to research, provide literature review of key findings and theories relevant to the proposed study, explaining how the proposed study builds on past work in the country. This should be limited to two pages.

Rationale should be limited to one page and cover the following points:

- What is the scope and nature of the problem that is to be researched?

- Why is the problem important, particularly in a development context, and in the context of priorities established for the award of grants under the ZCZRDF
- How does the problem to be researched lend itself to resolution through proposed research?

ii. Objectives and Expected Outputs

Present the general (long-term) and specific (short-term) objectives and expected outcomes of the proposed project. The specific objectives should respond to the identified problems and should be directly related to the activities proposed in the project description. List what the research activities would seek to achieve in terms of the special focus area (priorities) identified for the ZCARDF.

iii. Detailed project Description

This is the heart of the proposal. It should be written in full details and should be directed to specialists in the field. The following should be included.

- descriptopn of activities to be carried out to meet the stated objectives
- description of how each component of the project would be undertaken and what methodologies would be used, paying attention to experimental design.
- criteria for choosing project sites, if a survey is part of the project, give details of procedures and questions to be asked (attach questionnaire).

iv. Work plan

The detailed work plan should give activities to be undertaken on a monthly basis and unit cost/rates. Disbursement of funds will be done according to the detailed work plan.

v. Detailed Budget

The budget should give all cost detailed in the work plan according to the specified items following the format provided below. The budget items must be relevant to the proposal research plan and should be justified in the research plan. The following should be observed with regard to budget items.

1. Salaries / Wages/ Fees/ Allowances

These should cover only modest costs for short-term expertise and skills requirements such as Research assistants, technicians, graduate students and casuals. The ZCARDF does not pay salaries, wages and allowances (medical, house, travel, etc.) of investigators.

2. Travel

a. Local travel costs should include only costs for the implementation of the project (for sample collection, field visits, etc). The need for travel costs should be explained in the research plan. Travel costs to conferences, scientific meetings, etc, should not be included under this item.

b. The need for international travel should be adequately justified in the research plan, while specific travel costs (airfare, accommodation, etc) should be included in the detailed work plan.

3. Equipment

Equipment *(not exceeding US$ 3,000)* if necessary, should be justified in the research plan. Specification and description of each item and its estimated cost should be included in the work plan.

4. Expendable supplies

Categories of expendable supplies (fertilisers, feed, drugs, reagents, glassware, solvent, etc.) should be listed in the work plan and a cost estimate for each category should be given.

i. Communication Charges

Communication costs (for mailing, telephone calls, fax etc.) should be within reasonable limits and be related to the implementation of the project.

ii. Literature

List categories of literature (books, journals, reprint, abstract reviews, etc.) and give a cost estimate for each category.

iii. Printing/ publication

Printing/ publication costs include costs of preparing and printing project reports and cost of publication (in scientific journals) of paper arising from project results. Costs should be specified in the work plan.

iv. Seminars /Workshops

Seminars, workshops and conferences to be attended or organised locally should be relevant to the project explained in the research plan. Specific costs of these items should be included in the work plan. Travel

costs for international workshops and conferences relevant to the project should be included in international travel. Maintenance of equipment

v. Maintenance of equipment/ facilities

Estimated maintenance costs should be included in the work plan for each equipment/ facility required for the implementation of the project.

vi. Contingencies

The contingency item is included to take care of adjustments in the budget due to inflation and other unforeseen factors. Use of contingency funds has to be justified.

vii. Overheads

For the administration of the project, the participating institution will receive 8-15% of the grant amount depending on whether the research is field or laboratory based.

viii. Sources of funding

Give information on other sources of funding (national or international) including pending applications for funding for the proposed research project.

vi. Monitoring

A description of key indicators, benchmarks and other monitoring tools against which the progress/achievements of the activities and the project can be evaluated. Attach a project log frame/result framework.

vii. Reference Cited

Give references to literature you have cited on the subject

D. CV of PRINCIPAL INVESTIGATOR

Provide Curriculum vitae of the Principal investigator

Appendix 3a: Form and Instructions for Proposal Pre-screening

Title of research project:.....
Reference No.....
Name of proposer.....
Name of reviewer.....

No.	Criteria	Standard	Check	
			Yes	No
Eligibility: is the applicant/institution registered to do research?				
1	Clear indication of who is legally responsible	Name of registered institution or individual and signature of lead scientist		
2	Contact address	Minimum of postal address and telephone number indicating residence in Uganda		
3	Letter of authorisation and consent	If researchers are employed by an institution that is not the proposer, then letter(s) authorising them to participate in team and acceptance by scientist		
4	Cvs of researchers attached	CVs should contain photocopies of certificates of academic awards and names of three referees		
5	Area of research	A clear indication of the relevance of study to the call		
6	Format	Is the application in the prescribed format?		
7	Budget limit	Is the application within the set budget limit?		
8	Copy of the proposal	Is the electronic copy of the proposal provided?		
Comments:				
Accepted/Rejected				

Appendix 3b: Criteria and weights for Proposal Rating

Title of research project:.....
Reference No.:.....
Name of Proposer:.....
Name of Reviewer:.....

General			**Score**	
			Max	**Actual**
1	Interpretation of term of reference	Demonstration that proposers understand the issues and the methodology and team will address the research opportunity in a relevant way	8	
2	Monitoring indicators	Monitoring indicators identifies in terms of quantity, quality and time	7	
Sub-total General			15	
Technical appraisal				
3	Scientific merit and quality	Based on good scientific research practice	10	
4	Appropriateness of the research methodology	Methodology should be suitable in terms of its sophistication relative to the task	8	
5	Likely achievement of objectives within the time frame and budget indicated	Proposal should not be unrealistically ambitious in terms of targets set	4	
6	Availability and suitability Of the necessary research facilities	Facilities need to be appropriate for the research to be carried out. Where facilities have to be hired, written confirmation of their availability is required	4	
7	Proposed approached to hazardous procedures and ethical consideration	Methods and results should minimise any harmful bi-products and/or deleterious effects on the environment	4	
Sub-total Technical Appraisal			30	
Social and Institutional Appraisal				
8	Poverty focus	Research should be undertaken for the principal benefit of poor farmers	5	
9	Deepening decentralisation	Research should be conducted in conjunction with farmers organisations at decentralised levels of administration	5	
10	Targeting market opportunities	Proposal should show the link to market opportunities for the improved product	5	
11	Gender focus and gender-responsiveness	Proposals should be designed to ensure a fair opportunity for women to share in the benefits of the research	3	
12	Quality and diversity of participation	Participatory process followed, multi-disciplinarity, diversity and complementarity of roles, evidence of	3	

		agreements and consensus, etc.		
13	Sustainable natural resource management	Research should not result in any long term reduction in the productivity potential of natural resources	3	
14	Capacity development of research institutions	Proposal should include provision for young professional to gain research experience	3	
Sub-total Social and Institutional Appraisal			27	
Economic Appraisal				
15	Expected economic benefits	Research outputs should benefit a large number of farmers. Benefits should also include projected increase in farm incomes	4	
16	Proposal is cost-effective	Low cost research techniques are preferred	4	
17	High level of benefits relative to cost	Ratio of benefits to cost should be high. Thus high cost proposals can only be justified by very large benefits	8	
Sub-total Economic Appraisal			16	
Communications Appraisal				
18	Assessment of communication needs of target group	Proposal should include plans to assess communication needs of target group for the dissemination of results	4	
19	Provision to develop appropriate materials for intended beneficiaries	Proposal and budget need to provide for production of communication materials	4	
20	Provision for dissemination of information on results with partners	Proposal and budget need to provide for programme of dissemination of research results	4	
Sub-total Communications Appraisal			12	
Total Appraisal			**100**	

Appendix 3c: Form for proposal Assessment

Title of research project:.....
Reference No.:.....
Name of Proposer:.....
Name of Reviewer:.....

General			**Score**	
			Max	**Actual**
		Comments		
1	Interpretation of terms of reference		8	
2	Monitoring indicators		7	
Sub-total General			15	
Technical appraisal				
3	Scientific merit and quality		10	
4	Appropriateness of the research methodology		8	
5	Likely achievement of objectives within the time frame and budget indicated		4	
6	Availability and sustainability of the necessary research facilities		4	
7	Proposed approached to hazardous procedures and ethical considerations		4	
Sub-total Technical Appraisal			30	
Social and Institutional Appraisal				
8	Poverty focus		5	
9	Deepening decentralisation		5	
10	Targeting market opportunities		5	
11	Gender focus and gender responsiveness		3	
12	Quality and diversity of participation		3	
13	Sustainable natural resource management		3	
14	Capacity development of research institutions		3	

Sub-total Social and Institutional Appraisal			27	
Economic Appraisal				
15	Expected economic benefits		4	
16	Proposal is cost- effective		4	
17	High level of benefits relative to costs		4	
Sub-total Economic Appraisal			16	
Communications Appraisal				
18	Assessment of communication needs of target group		4	
19	Provision to develop appropriate materials for intended beneficiaries		4	
20	Provision for dissemination information on results with partners		4	
Sub-Total Communications Appraisal			12	
Total Appraisal			**100**	

Appendix 3d: Instructions to Evaluators

1. You should rate the proposals based on the criteria explained in the attached table (Appendix 3b), in light of the overall objectives of the scheme and the specific priorities for the current funding cycle as explained in the attached call for proposals and the attached extract from the ZCARDF Guidelines. Please record your ratings and comments using the rating form.

2. If any of the members of the proposed research team is your close relative or friend or a student whose work you supervise or id you or your family has a direct or indirect financial stake in the proposed research, or if you have a significant adversarial or competitive relationship with any of the team members you are considered to have a strong conflict of interest. If you have a strong conflict of interest with certain applicants you should not rate their proposals and are not eligible to be paid if you do. (You can still express an opinion on the proposal, but this shall not be presented as an independent review.) If you know that you have a strong conflict of interest or are not sure whether you do, you should immediately contact the Fund Secretariat. In clear cases, the Fund Manger shall determine whether an unacceptable conflict of interest exists. Minor conflicts of interest should be disclosed. The proposal Assessment Technical Sub-Committee will review the Fund Manager's decisions and consider the disclosed conflicts together with the assessments.

3. The Fund Secretariat seeks to contact assessors in advance to check whether they are available, free of conflicts of interest, sufficiently familiar with the topic to express their opinion, and interested in the assignments. If, for any reason, you find that you cannot or should not perform the task, you should immediately contact the Fund Secretariat.

4. Timeliness is highly appreciated and rewarded. The Fund Secretariat is authorised to pay full assessment fees only to those assessors who submit (or mail – as indicated by the postmark) their assessment by the due date. Assessors who submit their assessments within five working days after the due date shall be paid a reduced fee. No fees shall be paid to reports delayed more than five days. Instead, the Fund Secretariat is required to seek replacement assessors.

Appendix 4: Research Contract

1. The (name of the zone) Zonal Competitive Agricultural Research and Development Fund Secretariat (ZCARDF-SEC) has approved a Grant in the amount of

_____

_____ to the _____

_____

(hereinafter called the grantee) to enable him/her/it to undertake the research project entitled:

_____

_____

_____

2. The Grant is subject to sufficient funds being made available to the ZCARDF by the National Agricultural Research Organisation Council during the full term of the project.

1. The Grant has been awarded to support the project described in the attached proposal dated _____ and signed by _____ as the Principal investigator and _____ as the appropriate administrator. The proposal and associated budget are part of this contract. Unless otherwise agreed in writing by the Fund Secretariat, the grant shall be used only to cover the costs included in the budget to implement the activities outlined in the proposal.
2. DISBURSEMENTS

    a. Initial payment of 70% of the amount budgeted for the first year shall be made upon receipt by Fund Secretariat of a copy of this memorandum signed by the principal investigator and, if applicable, the Dean/Director/Head of the institute

    b. Further payments shall be made every three months in accordance with budgeted needs for the subsequent three-month periods, provided that the project follows the proposals and complies with reporting requirements and that it is not found to perform unsatisfactorily by CGS monitoring.

c. The final payment of 15% of the budget for the final year, if warranted by expenditures, shall be made by the Secretariat upon the acceptance of the final report.

3. GRANT CONDITIONS

a. The principal investigator/ submitting institution will undertake to conduct the project and administer the contract in an efficient manner as indicated in the proposal.

b. Unless otherwise specifies in the proposal or agreed in writing by the Fund Secretariat, the grantee will commence the implementation of the project within one month of the award of the research grant.

c. The grantee agrees that the payment of any funds under this grant is subject to the grantee's compliance with the conditions set out in this contract.

d. The grantee shall submit progress reports to the Fund Secretariat every three months. Reports are due 15 days after the end of each period; the first three-month period starts at the commencement of the project. Financial reporting shall be part of the progress reporting and shall follow the formats provided in the Appendix 5 of the Zonal Competitive Agricultural Research and Development Guidelines. Upon completion of the project, the procedures and methodologies, findings and conclusions arrived at, along with the final financial report.

e. Disbursement shall be contingent on acceptable and timely progress reports.

f. Staff of the Fund Secretariat or its appointed agent shall visit the recipient and needed to monitor progress of the project and the grantee shall co-operate with monitoring.

g. If monitoring indicated unsatisfactory performance or significant unauthorised deviations from the accepted proposal, the Fund Secretariat shall terminate the contract. The grantee accepts that Secretariat has the right to do so and agrees to reimburse unspent funds as well as funds spent on activities that were not in accordance with this contract.

h. All unspent funds will be refunded to the Fund Secretariat on the completion of the project.

i. The grantee has the right to publish the findings but shall acknowledge the support from the ZCARDF.

SIGNATURES

1.	.....	.....
	PRINCIPAL INVESTIGATOR	Date
2.	.....	.....
	HEAD OF RECIPIENTS INSTITUTION	Date
3.	.....	.....
	FUND MANAGER for NAROC	Date

Appendix 5a: Format for Quarterly Progress Report

A: Project details

1. Project title .....
2. Project no.....
3. Name of service provider
4. Report for the period from ..... to .....

B: Implementation relative to plan

1. Project work plan incorporating actual achievement

No	Description of Activity	Planned start Date	Actual Start Date	Planned Finish Date	Actual Finish Date	Quantitative Indicators		
						Qty Planned	Actual	Units
1								
2								
3								

2. Status of implementation (narrative)

3. Constraints to project implementation

4. Proposed solutions to constraints

5. Attachments (if any)

Budget item	Item description	Expenditure This period (Ush.)	Justified Expenditure in previous periods (Ush)	Cumulative Expenditure To date (Ush.)	Budget (Ush.)	Balance (Ush.)
1. 2. 3. 4. 5. etc.						
Total						

Appendix 5b: Format for Quarterly Financial Report

Principal Investigator

Project Title:

Contract No.

Participating (host) institution:

A. Expenditure report

Item	**Month-----**	**Month -----**	**Month -----**
1.Wages/fees/allowances 2. Travel a) Domestic i.Subsistance ii.Transport b_)International 3.Equipment 4.Expendable supplies 5.Postal/telephone charges 6.Literature 7.Printing/publication 8.Seminar/workshops 9.Maintenance 10.Miscellaneous (Add rows as necessary for additional items)			
Total			

B. Previous advance Shillings

C. Balance (previous advance minus total expenditure)

D. Request for additional advance to cover the following three months:

Month___ _____ Month ___ _____ Month __ _____

Total additional advance (Shillings) _____

E. Total advance requested (total additional advance less balance)

F. Signatures:

Signed:_____ Signed: _____

(Principal Investigator) Title_____

Date:_____ Date: _____

Appendix 5c: Format for the Annual Report

The purpose of the Annual Report is to summarize significant scientific results from the previous 12 months' work. Managerial issues that have arisen should also be described. Any significant changes in the project should be described. The outline for the report is as follows:

Title Page

Table of Contents

Executive Summary

The Executive Summary should be typed double-spaced on a separate page; no longer that one page. Describe purpose of the project. Briefly describe the findings over the previous year, and explain how these findings contribute to the achievement of the project objectives. Clearly describe the nature of collaboration and postgraduate training activities during the year.

The Executive Summary is extremely important. It is the section of the report, which contributors to the NCARF and policy makers use to assess the impact of NCARF-supported research projects. Write the Executive Summary so that content is clear and concise.

Research Objectives

Provide a brief statement of project objectives. Do not include unnecessary background,, history, or literature review.

Research Achievements

Focus on the extent to which progress has been made in achieving the project's objectives since the time of the last Annual Report. Use performance indicators to compare and monitor progress against original plans. If results have been published, provide reprints as attachments. Describe any products or procedures that have been patented.

Project Impact

Are results from the project being used? If so, hoe? If not, what are the anticipated uses? If so, describe revision.

Administrative/Management Issues

Describe any project administrative/management issues that have arisen since the last progress report.

Budget

Describe and justify major changes (10% or more in budget terms) to budget. Provide details as to all budgetary contributions to the project. Compare with the original plan and highlight any significant issues. Provide a detailed budget using the following format (as for the detailed work-plan) for the coming 12 months or remaining duration of the project.

Month and activity	Required inputs and unit Costs/rates	Estimated cost
Month		
Etc.		

Collaboration and Publications

Briefly describe collaborative activities, indicating who was involved, and when and where the activities occurred. Describe anticipated activities in the next quarter, and list project publications that have appeared since the last report.

Fund Management Secretariat Actions

Indicate how the Fund Management Secretariat can assist in promoting project implementation and productivity.

Appendix 5d: Format for Annual Financial Report

Principal investigator

Project Title

Contract No.

Participating (host) institution:

A. Expenditure report

Item	Quarter 1	Quarter 2	Quarter 3	Quarter 4
1. Wages/fees/allowances 2. Travel a) Domestic i. Subsistance ii.Transport b)International 3.Equipment 4.Expendable supplies 5.Postal/telephone charges 6.Literature 7.Printing/publication 8.Seminars/workshops 9.Maintenace 10.Miscellaneos *(Add rows as necessary for additional items)*				
Total				

B. Previous advance Shillings _____

C. Balance (previous advance minus total expenditure) _____

D. Request for additional advance to cover the following year:

Quarter1_____ Quarter 2 _____ Quarter 3_____ Quarter 4 _____

Total additional advance (Shillings) _____

E. Total advance requested (total additional advance less balance)_____

F. Signatures:

Signed: _____ Signed: _____

(Principal investigator) Title: _____

Date: _____ Date: _____

Appendix 5e: Format for End of Project Report

1. Title of Project
2. Name of Principal Investigator
3. Name(s) of Collaborating scientist(s) if any and their Institutions
4. Reporting Period
5. Abstract of Report
6. Objective of Project and Expected Outputs/Results
7. Methodology
8. Major Findings (with data analysis and interpretation)
9. Problems Encountered and possible Solutions
10. Statement of Accounts to Date

Note: If it is a completion report, it should also in addition to the above parameters, include the following:

11. Significant technical achievements (description of technologies) generated or verified
12. Significant findings for Policy makers and Development Planning
13. New research areas identified for future projects
14. Lesson from project implementation that are relevant for future projects
15. Appropriate indicators for impact assessment
16 Mode of Dissemination of Results and whether any Publications have emanated from the project so far.

Designed & Printed by: TTB Investments Ltd Tel: 0312 278903