



COMPETITIVE GRANT SCHEME

A new approach in the National Agricultural Research Organisation (NARO) that complements core research and opens up the provision of agricultural research services to competition by all eligible agricultural research service providers

Guidelines and Procedures

2010

VISION

Highly competitive, pluralistic, innovative and people focussed research

MISSION

To harness under-utilised research capacity that directly or through contributions to research, brings significant benefits to end-users.

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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 Competitive Grant Scheme (CGS) of the National Agricultural Research System (NARS) of Uganda. The contents in the manual have been divided into 11 sections as follows: -

- 1) Introduction. Reasons for instituting the scheme
- 2) Objectives for which the scheme was established and the scope of support given under the scheme.
- 3) The governance structure on which the scheme hinges.
- 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) Indicative timetable
- 11) 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 Development Strategy and Investment Plan (DSIP) and the Prosperity for All (PFA).

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CHAIRPERSON NARO COUNCIL

ACRONYMNS

CGS	Competitive Grant Scheme
CGIAR	Consultative Group on International Agricultural Research
DSIP	Development Strategy and Investment Plan
GoU	Government of Uganda
MC	Management Committee
M&E	Monitoring and Evaluation
NAADS	National Agricultural Advisory Services
NARO	National Agricultural Research Organisation
NAROC	National Agricultural Research Organisation Council
NARS	National Agricultural Research System
NDP	National Development Plan
NCARDF	National Competitive Agricultural Research and Development Fund
NGO	Non Governmental Organisation
PARI	Public Agricultural Research Institute
PFA	Prosperity for All
PMA	Plan for Modernisation of Agriculture
PPG	Project Preparation Grant
TOR	Terms of Reference
ZARDI	Zonal Agricultural Research and Development Institute
ZCARDF	Zonal Competitive Agricultural Research and Development Fund
ZCARDFSEC	Zonal Competitive Agricultural Research and Development Fund Secretariat
ZFM	Zonal Fund Manager
ZFS	Zonal Fund Secretariat

1. INTRODUCTION

Agriculture forms the basic engine of economic growth for Uganda. This realisation is being backed by the adoption of clear policies, economic support and guidance. Increase in agricultural productivity can not be fully achieved without (i) the benefits of safe and 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 research¹ 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.

This manual explains how the Competitive Grant Scheme (CGS) will be established and operated. It provides procedures and guidelines for implementation of the scheme.

These guidelines are not carved in concrete. NARO Council will regularly update them during annual reviews as experience is gained and new lessons are learned.

2. AGRICULTURAL SECTOR ISSUES AND STRATEGY

Agriculture in Uganda 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. 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 right-sized, privatised and decentralised public agricultural institutions. It has also resulted in a reformulation of policy so that poverty eradication is now the overriding objective of GOU agricultural development efforts.

2.1 *The Plan for Modernisation of Agriculture*

In recognition of the need to transform agriculture, the Government formulated a ***Plan for the Modernisation 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. The above is addressed under the National Development Plan (NDP), the Prosperity for All (PFA) and the Ministry of Agriculture, Animal Industry and Fisheries Development Strategy and Investment Plan 2009 - 2015.

2.2 *The National Agricultural Research Policy,*

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 struggling with severe 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

¹ Strategic agricultural research, as defined in the National Agricultural Research Policy and Bill, means research responding to national strategic research questions and priorities. It may consist of elements of traditional, basic, applied and adaptive research, but in particular should include identifying processes, principles and technological elements required for successful adaptation of technologies and increasing the efficiency of applied and adaptive research.

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 institutions, 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 the poor.

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.

A demand-led agricultural research agenda will require the development of strategic partnerships able to conduct a range of research from basic to strategic, applied and adaptive research. In this process there would be room for the participation of specialised and advanced research institutes; international agricultural research institutes (both CGIAR and non-CGIAR); sub-regional organisations; public agricultural research institutes (PARIs); Universities, non-governmental organisations; community-based organisations, farmers' organisations and the private sector. Further, private researchers will be able to hire facilities and expertise from the PARIs to carry out agricultural research. Government will in the main, provide funding for most

public research contracts. However, over time it is intended to increase the share of funding contributed by private sector firms and farmers.

3 COMPETITIVE GRANT SCHEME

The Competitive Grant Scheme operates at national and zonal levels through provision of competitive grants in order to address agricultural research priorities at those levels.

3.1 Objectives and Scope

The Competitive Grant Scheme for agricultural research seeks to harness under-utilised research capacity that directly or through contributions to other research, brings significant benefits to end-users. By this, the Scheme will contribute effectively to national development objectives such as modernisation of agriculture and poverty eradication.

The objectives of establishing the competitive grant scheme are to:

- i) Strengthen the national agricultural research system (NARS) through mobilizing the best available scientific expertise in the public and private sectors to work on specific high priority projects in accordance with the national agricultural development strategies.
- ii) Promote research partnerships and collaboration between national, international, private and public institutions to maximise complementarities among different institutions, disciplines or countries in the conduct and management of agricultural research;
- iii) Improve research quality and innovation by selecting projects based on rigorous technical review, sound work plans and expected results. ;
- iv) Complement core research programmes by drawing a wide range of participants into the research system and providing needed operating costs in a timely manner, for more efficient use of available resources (human and physical) and research infrastructure. ;
- v) Increase total funding for research by mobilising funds from farmers, industry and other resources.
- vi) Speed up the adoption of improved agricultural technologies by providing funding for scaling up of promising technologies in partnership with the private sector

3.2 Research areas for CGS

The following areas qualify for CGS: - Non core areas arising out of priority setting and agreed by stakeholders.

3.3 Structure and Management of the Fund

The National Agricultural Research Organisation Council (NAROC) is the apex body for agricultural research in Uganda.

3.3.1 National Competitive Agricultural Research and Development Fund

The National Competitive Agricultural Research and Development Fund (NCARDF) will therefore be managed under the overall guidance of the NAROC, which will finally approve all projects for funding. The Research Coordination unit of the NARO Secretariat under the overall supervision of the Science Committee of the NAROC will be responsible for the day-to-day management of the NCARDF Fund. This will involve calling for proposals, pre-qualifying the proposals, arranging for proposal reviews, preparing and submitting proposal review reports to the Council, disbursing grants and arranging for M&E of projects in accordance with the provisions of these guidelines. Additional peer review panels may be constituted, when necessary for review of proposals.

The Science Committee of the NAROC shall review all proposals for scientific merit before grants are finally awarded by the Council. The Users' Committee shall on the other hand assess proposals to address the concerns of beneficiaries and the level of participation in the proposal writing and priority setting. These functions may alternatively be contracted out.

3.3.2 Zonal Competitive Agricultural Research and Development Fund

The policies and priorities of the Zonal Competitive Agricultural Research and Development Funds (ZCARDF) are determined by the Zonal Agricultural Research and Development Institute Management Committees (ZARDI -MCs) under the overall guidance of the National Agricultural Research Organisation Council (NAROC).

Members of the Management 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 management committees business and should be able to read, write and express themselves in English.

3.3.2.1 Composition

The Management Committee of the Zonal Agricultural Research and Development Institute, shall comprise of the following—

- (a) Three representatives of farmers at least one of whom shall be a woman elected in a manner prescribed by the Minister by recognised farmers' group or farmers' organisations and one of whom shall be a person with disabilities elected in a manner prescribed by the Minister;
- (b) A representative chosen by NAADS from within the area served by a particular zonal agricultural research and development institute;
- (c) The director of the zonal agricultural research and development institute, ex-officio member;
- (d) A representative from the district local governments served by a particular zonal agricultural research and development institute; and
- (e) Two other persons of integrity and with experiences of and proven capacity in economic, finance, business, development or administration.
- (f) The Committee will co-opt other 2 scientists from private sector and universities as necessary.

3.3.2.2 Functions

The role of the ZARDI-MC is to represent stakeholders, oversee the operation of the ZCARDF by ensuring adherence to overall policy with respect to zonal agricultural research. The specific functions of the ZARDI-MC are on behalf of NARO Council to:

- i) Set zonal agricultural research priorities;
- ii) Approve zonal agricultural research plans and programmes;
- iii) Approve Zonal Competitive Grant Scheme project proposals
- iv) Mobilise and allocate resources from district sources
- v) Follow up application of agricultural research results;

3.3.2.3 *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 Zonal Fund Secretariat. The Zonal Fund Secretariat is tasked to:

- i) prepare and submit budgets, work plans and annual reports of the secretariat for ZARDI-MC's approval;
- ii) on behalf of the ZARDI-MC, organise stakeholder meetings for purposes of setting and / or updating zonal research priorities
- iii) identify, in consultation with stakeholders, zonal priority research areas
- iv) disseminate information about the zonal competitive grant scheme and its Fund and publicise calls for proposals;
- v) ensure that the proceeding of the ZARDI-MC are well documented and distributed to all districts in the zone, and feed back to the ZARDI-MC is obtained in writing;
- vi) receive and register applications and acknowledge receipt to applicants;
- vii) carry out administrative and technical pre-screening of the proposals to ensure that prescribed format for CGS application and procedures are adhered to;
- viii) prepare and submit proposals for peer review;
- ix) work with the chairperson of the substituted committee of the expanded ZARDI-MC to ensure transparency and objectivity of the proposal assessment process;
- x) summarise assessors' reports for selection of proposals;
- xi) communicate with applicants on the status of the processed proposals;
- xii) prepare and sign contracts of supported proposals;
- xiii) disburse funds to grantees;
- xiv) receive, record and review progress and final reports on funded projects;
- xv) monitor and evaluate projects in consultation with the recipient organisation;
- xvi) approve minor modifications to approved projects and submit major modifications for ZARDI-MC's consideration;
- xvii) stop disbursement when warranted by failure to submit reports or adverse monitoring findings;
- xviii) organise training in the preparation of proposals, and other aspects of the project cycle, as needed;
- xix) liaise with stakeholders, including potential new sources of funding;
- xx) Propose changes to the operational manual as required for NAROC approval.

3.3.2.4 Expanded ZARDI - MC

The current ZARDI – MC will be expanded to include 2 other scientists from the private sector and university. The ZARDI-MC will appoint a technical committee to serve as a technical committee 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 affiliated 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 at least once a year to evaluate research proposals and will be supported by the Zonal Fund Manager and staff of the Zonal Fund Secretariat. The Zonal Fund Manager will serve as Secretary to this Technical Committee. Members of the Technical Committee will decide on the Chairperson at their first sitting.

3.4 Types and size of Grants

There are two types of Grants namely the National Competitive Agricultural Research and Development Fund (NCARDF) and the Zonal Competitive Agricultural Research and Development Fund (ZCARDF).

3.4.1 National Competitive Agricultural Research and Development Fund

The National Competitive Agricultural Research and Development Fund (NCARDF) will provide funding for upstream, applied and strategic research at national level.

In most cases grants under NCARDF will not exceed \$250,000 (Two hundred fifty thousand dollars) over a three-year period.

3.4.2 Zonal Competitive Agricultural Research and Development Fund

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, responds to new pressing needs or 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 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 clearly identifies users (end-users or applied researchers). Research by post-graduate

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.

3.5 Timing of Calls

The NCARDF and ZCARDF will make one call a year as follows;

- January - National projects
- July - Zonal projects

3.6 Project Proposals Preparation

All research projects submitted to NCARDF for a particular call for proposals should address the research priorities identified in the national strategic plan and strategic objectives chosen for the call. They should also demonstrate a collaborative approach.

Proposals will be submitted based on a call for proposals issued by the Council through NAROSEC and must be prepared in accordance with the Proposal Presentation Guide. The bidding process will normally comprise two stages:

- a) Expression of Interest
- b) Invitation of short listed candidates to present final proposal.

The process begins with a list of priority strategic research objectives derived by distilling the stated research needs of research client groups. The production of this list is the responsibility of the Council. A statement of a research opportunity plus the related research requirements will be prepared by the NARO and Zonal Fund Secretariats and approved by the Council and Management Committee on behalf of the Council respectively. An invitation for Expressions of Interest to prepare proposals to address the listed research issues will then be advertised in the national newspapers and other relevant public media. A template for an advertisement is attached as Annex 1.

A period of one month will be allowed for the submission of Expressions of Interest. Guidelines for the preparation of Expressions of Interest are attached as Annex 2. The NARO and Zonal Fund Secretariats will allow one further month for review of Expressions of Interest. A format for appraisal of Expressions of Interest is contained in Annex 3. Short-listed service providers will then be invited to submit formal proposals to conduct research in accordance with the advertised strategic objectives. A project preparation grant (PPG) to enable interested scientists to put together a proposal for subsequent consideration under CGS shall be granted depending on the need assessed from the submitted proposal. This grant can enable the participating scientists to travel and meet together, and might include funds limited to maximum of 3 days workshop. The format for application for such a grant is given as Annex 4.

A period of two months will be allowed for the submission of proposals. A template for bid documentation is attached as Annex 5. Guidelines for proposal formats are attached as Annex 6. A further 30 days will be provided for the review and ranking of proposals.

The Council will apply two levels of criteria to the review of project proposals submitted for funding under NCARDF. All projects must meet basic **eligibility** criteria to be considered for funding. The NARO Secretariat and ZFS will review proposals submitted and judge their compliance with the general submission criteria. The projects will then be submitted to peer reviewers for technical assessment against established **technical** criteria. A format for appraisal of proposals is given in Annex 7. Results will be announced approximately six months after advertisement of tender notices for expressions of interest. The Council through NARO Secretariat and ZFS will establish and maintain an accurate and dependable proposal

recording system, including keeping track of each application at any one time. It will also maintain a register of potential peer reviewers.

3.7 General Eligibility Criteria.

Institutional and individual agricultural research service providers and any combination thereof qualify to respond to invitations for proposals and be considered for NCARDF or ZCARDF as long as they are registered with the NAROC.

The following criteria represent the minimum criteria that all projects must meet to receive funding consideration. All proposals shall be pre-screened against these minimum requirements for technical conformity before being submitted for further consideration.

a) Consistency with the national or zonal or both Strategic Agricultural Research Plan and the priorities chosen for the present call for proposal.

As a minimum requirement all projects must be consistent with the national agricultural research strategic plan and with the priorities established by the Council as part of the implementation of this plan, relevant to the present call. In this context all projects must focus on agricultural development, contribute to economic growth and development, respond to market opportunities and enhance the natural resource base. In addition the project must be relevant to national issues and concerns and should address a major constraint, issue or opportunity.

b) Involvement of inter-institutional partners.

The projects presented to the Council must demonstrate a partnership among stakeholders in planning and implementation. Each project must demonstrate involvement of at least two “different kinds of entities” conversant with agricultural research. The research team may include international research centres, NGOs, PARIs, Universities, the private sector or other relevant stakeholder organisations.

c) Identification of the executing organisation and project team.

The project document must clearly identify the entity that will serve as the principal institution for implementation and those that will serve as partners. The proposal needs to list the names and institutions of all participating researchers and/or project implementers, with clear identification of the Lead Scientist or institution, which must be based in Uganda. The project should indicate the knowledge and experience that the principal investigators have in the research subject.

d) Duration of project and grant limit.

The project proposal must adhere to the project period and funding limits established in the guidelines and by any other project guidelines issued by the Council.

e) Commitment of contributions to the project.

Projects will indicate clearly the inputs of human, material and financial resources to be provided by the principal executing agency and the various partners involved in the project. The project must include signed documentation from the parties confirming those commitments.

f) Conformity with general project guidelines.

Proposals must follow the guidelines established in the Proposal Preparation Guidelines. All projects must include information requested, including a detailed budget, work plan, and monitoring and evaluation plan. Projects that do not include all relevant information will be considered non-responsive.

3.8 *Technical Submission Criteria*

All projects that meet the general submission criteria will be evaluated according to technical criteria to determine the overall feasibility of the project. The Council through NAROSEC, will employ five levels of technical criteria to evaluate the projects under the competitive grant system. These levels include: (1) general institutional capability, (2) technical and scientific merit and quality, (3) social and institutional impact, (4) economic impact, and (5) communications strategy. All projects will be measured against these various criteria and ranked and scored according to importance (Annex 5B and Annex 7). Indicative weightings are: general capability (15 points), scientific quality (30 points), social and institutional impact (27 points), economic impact (16 points) and communications strategy (12 points).

(a) Institutional and Management Capacity

The purpose of the institutional evaluation is to establish that the executing agencies have sufficient managerial capacity to undertake the proposed project: i.e., that they have the technical capacity, the experience and the managerial, administrative and control systems required to implement the project successfully.

The evaluation will focus on overall institutional experience to determine the capacity of institutions or teams to conduct research on proposed topics. Reviewers will assess the:

- i) qualifications of the lead scientist and the other participating groups;
- ii) background and scientific/technical performance of the team members in the past;
- iii) ability of the team to achieve the proposed results;
- iv) lead institution's capacity to capably manage the team; and,
- v) ability of the institutions to administer finances and to submit accountability through internal and external auditing mechanisms.

The level of institutional capacity is particularly important in proposals that favour inter-institutional action and joint research among research entities at the national, sub-regional, regional and international level.

The evaluation will also concern a management plan, including the monitoring plan and indicators, for the implementation of the project.

(b) Technical Quality

Scientific merit: The project proposal must offer a solid response to a priority problem or research opportunity or address a priority constraint relevant to the present call. As part of this it must offer an innovative, coherent and inclusive strategy to achieve established objectives. Each project must present a research hypothesis and provide adequate explanation as to how the project will address that hypothesis.

The purpose of assessing technical quality is to determine the scope of the proposal and whether it has been properly formulated. The review will determine whether the project makes sense scientifically and technically, whether there are alternatives or more promising avenues, and whether there are efficient mechanisms proposed to transfer or disseminate the expected results. In addition, the assessment will determine the project's overall technical feasibility and relevance.

The project's technical and scientific excellence will be assessed on the basis of the following criteria:

- i) established research hypothesis that addresses an important constraint or issue of relevance to Uganda;
- ii) clear background and justification for the project along with a detailed description of the expected outcomes; quality and cost of materials and methods for achieving the objectives and expected outcomes;
- iii) scope of the proposal in terms of diversity of disciplines involved, size of the affected geographic area, and degree of joint activity and inter-institutional relations;
- iv) quality of scientific or technical design of the proposal, based on clear objectives, specified activities, internal logic;
- v) Well-established indicators for each outcome or objective and methods established to measure progress toward meeting the established objectives (well-developed monitoring and evaluation plan).
- vi) Possible multiplier effects, taking into account the use of the product(s) and technologies in the country and how they might contribute to other projects or programs throughout the DSIP intervention areas.

Environmental impact: Each applicant will prepare a review outlining the potential impacts on the environment. All projects must conform to the environmental and bio-safety laws of the country. Where environmental law stipulates the need for an environmental review, the Council will require approved environmental reviews from the appropriate environmental authority. The environmental review or statement should be attached to the proposal along with any determinations as well as the signed approval.

In some cases for instance at national level, Council through NAROSEC may provide provisional project approval pending the outcome of the required impact assessment. The Council through NAROSEC would not release funds to the project until receipt of the requisite approved environmental review or statement from the appropriate authority.

Projects should include means of verifying environmental impacts so as to facilitate the assessment of environmental effects, both positive and negative, in the short and medium term, and the measures proposed to mitigate possible negative effects. Particular attention must be paid to the potential impact on natural areas, especially tropical forests and wetlands that could be affected as a result of the spread of an agricultural technology developed under the competitive grant program.

For its part, the Council through NAROSEC will neither tender nor finance projects that have a net negative environmental effect, where sufficient mitigation measures cannot be developed to off-set the potential negative impacts.

On the basis of the aforementioned impact assessment criteria, it favours proposals that focus comprehensively on environment and bio safety laws that foster the development of technologies that are sustainable from an environmental standpoint. A Screening checklist for environmental impact assessment is attached in annex (3b).

(c) Socio-economic and Institutional Impact

A baseline study shall be conducted to address socio-economic and institutional impact. Indicate target beneficiaries, potential adoption, likely benefits (e.g yield increments, cost reduction and value addition) and indicative returns to investment in research

(d) Capacity building and partnership quality: The capacity building assessment seeks to evaluate how the proposal will help strengthen the Uganda NARS. The partnership assessment attempts to establish beyond the number of partners, the quality and the diversity of the partnerships of the proposed project at the

national level. Reviewers will assess the:

- i) Participatory process, which has been followed to achieve the design of the project proposal (e.g. meetings, workshops, electronic mail conferences, gap evaluation between the first draft and final proposal).
- ii) Diversity and complementarity of the roles played (with specific references to the integration and synergism among different knowledge systems) by the different stakeholders and the added value brought by these different roles.
- iii) Agreement and consensus built by stakeholders themselves on these principles of participation based on comparative advantage.
- iv) Shared mechanism allowing the consensus decision-making process and conflict resolution mechanism.

(e) Economic Impact

The economic assessment attempts to establish the economic impact of the proposed project at both national and zonal levels. Projects funded must exhibit a contribution to the national economic development and lead to increased agricultural incomes and stability of production in the medium to long-term. In most cases this will translate into a focus on market-oriented programs.

For example, the evaluation of proposals focusing on production aspects will take into account the significance of the expected changes in production value (based on production volume, product quality, efficient use of production factors, and other improvements that may result from introducing a new product) and the impacts of those changes for the sector and the farmer.

For proposals focusing on overall sector activities the evaluation will consider the economic strength of that specific sector, the magnitude of the problems being addressed, and the estimated extent to which the proposed project can address them and overcome any existing constraints.

The economic and financial impact assessment requires information and analysis of:

- expected incremental economic, financial, and social effects on aspects such as changes in production value, increased productivity, enhanced product quality, cost fluctuations, effect on income level and distribution, employment and overall contribution to economic development; and
- The potential for the project or activity to achieve economic and financial sustainability in the long run.

(f) Monitoring and Evaluation

Each project will include funds for monitoring and evaluation and project approval will be based on the inclusion of an effective monitoring and evaluation plan among other things. These funds should be used to measure achievement against established indicators. In general, monitoring and evaluation budgets should not exceed seven to nine percent (7-9%) of the total project budget.

No project will be passed without a log-frame

(g) Communications Strategy:

Projects will also be evaluated on the communication strategies for effective dissemination of results to enhance adoption of the technology or programs developed through the project. The potential for adoption offers an important point for evaluating the research project's success. Adoption may provide economic,

social and financial benefits to the beneficiaries. Important factors include the potential for spill-over from one area where the technology is developed to other eco-regions, for sustainability and for achieving impact within a reasonable time frame.

3.9 Proposal vetting

Projects are selected based on comprehensive review by ZARDI – MC and NAROC, and approval for funding by the Council. In addition at least three peer reviewers selected by the Council for their technical expertise will also independently evaluate all proposals for their technical merit.

3.9.1 Review process

All projects will pass through an initial screening by the NARO Secretariat before they are submitted for peer review.

The Council maintains the overall responsibility for the proposal selection process with technical support provided by the Research Coordination Directorate of the NARO Secretariat. After peer review the NARO and Zonal Fund Secretariats will receive the projects and will rank them.

The designated peer reviewers who are specialists in the subject area of the proposal will review all proposals for a tendered research project for their technical content and responsiveness to clients' needs. The NARO and Zonal Fund Secretariats are responsible for maintaining a pool register of reputable experts from which peer reviewers can be selected and appointed. The independent reviewers will individually score proposals according to the appraisal form shown in Annex 7.

Each reviewer will prepare a completed assessment form for each proposal and will present the scores awarded to the proposals. Any large discrepancies in scoring will be explored. The meeting will reach a consensus about the final ranking of proposals according to their merit. Ranking and grouping of responsive tenders will be as follows:

Category 1:	Excellent	(70 - 100 points)
Category 2:	Good	(60 - 69 points)
Category 3:	Inadequate	(below 60)

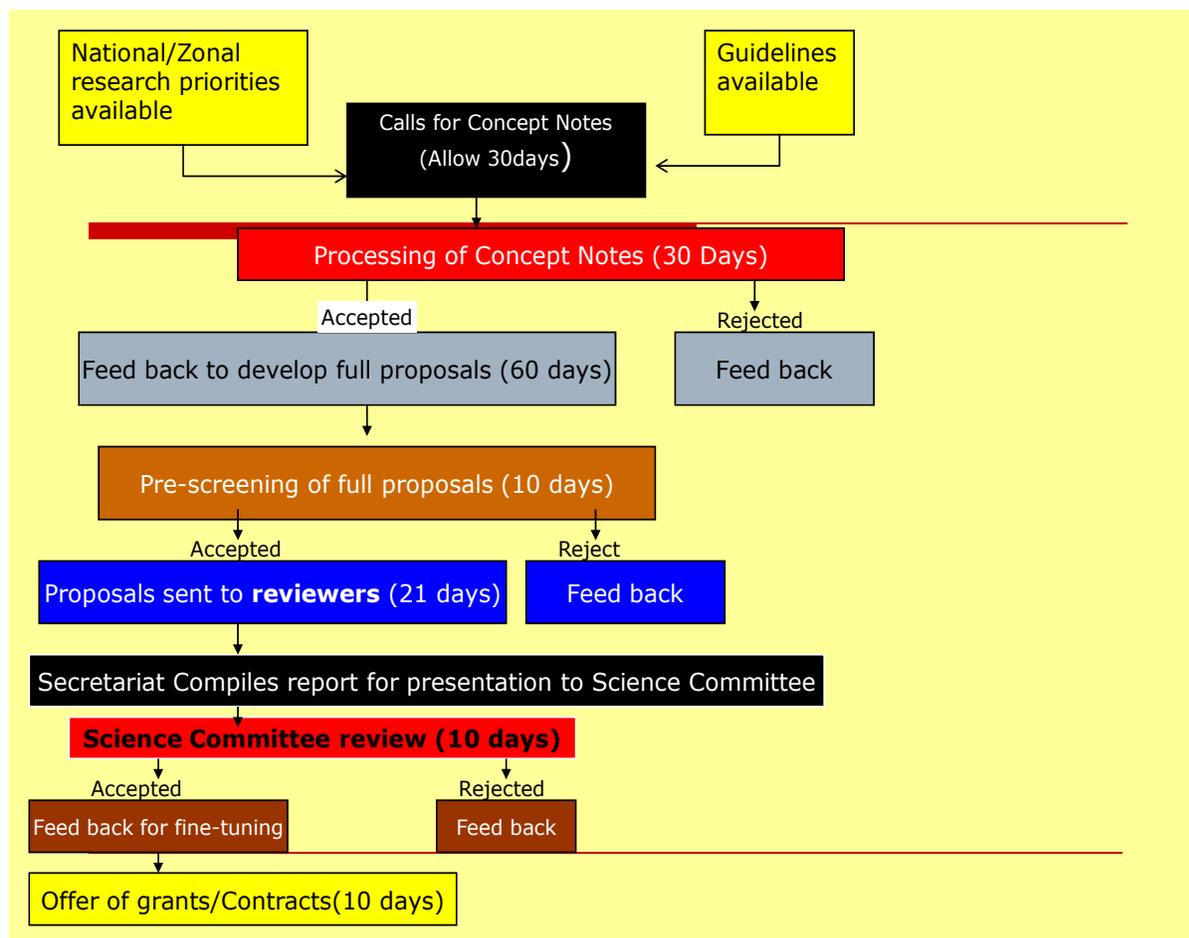
Proposals classified as inadequate shall be excluded from further consideration.

Reviewers are required to observe confidentiality and avoid conflict of interest. The Secretariat receives research proposals in confidence and is responsible for protecting the confidentiality of their contents. Reviewers will be required to refrain from copying, quoting or otherwise using material from the proposals availed to them. If a peer reviewer discovers a conflict of interest in providing assessment, he/she should disqualify himself/herself.

The NARO and Zonal Funds Secretariats will then consolidate the scores and comments of the reviewers and present them to the Scientific and to the ZARDI Management Committee for final scrutiny before submitting them to the Council for final decisions on funding based on the scores and funds availability.

The best evaluated team will win in a particular research area. No project will be passed if it scores less than 60 percent in scientific merit and economic impact.

Fig 1: Project Review Process



3.9.2 Preparation of Award Contracts

The Competitive Grant Scheme has been established as a long-term approach to sustainable funding for agricultural research for development in Uganda. Projects may receive funding for up to three years. In rare cases and where projects have proved particularly successful or innovative, the Council can approve funding up to an additional two years. However, initial funding periods will not exceed three years.

No project will receive funding for more than five years without prior evaluation and new successful submission of proposal to the CGS.

The Council shall establish minimum and maximum funding amounts for its competitive grant program, taking into consideration the required partnerships and cross-thematic inputs to enhance the relevance of research results. Projects responding to a call for proposals must have a minimum value. Maximum funding amounts will be established in each call for proposals.

Once the Council has approved project proposals, the Secretariat will issue a Letter of Notification to Principal Investigators. The Letter of Notification also provides an opportunity to request Principal Investigators revised or additional information that will form part of the contracted proposal. This information will be provided in a series of forms and tables (Annex 8).

Once these are returned, the Secretariat will proceed to prepare project implementation contracts with the executing organisation or team. The agreements, or project implementation contracts, will serve as the legal

agreement between the Council and the executing agency and will stipulate the responsibilities of the respective parties. For example, the agreements will stipulate the obligations of the executing agencies, presentation of reports and applicable disbursements, project audits, and a summary of the proposal approved by the Council.

The Director General and the lead institution of the research consortium managing the project, or a member of the consortium who also has legal status will sign these agreements. A third party, that can expedite resource transfers to the executing agencies, may also sign the agreement(s).

4. FINANCIAL ADMINISTRATION AND PROCEDURES

4.1 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 note of the following:

- a) The scheme covers only direct research costs, and does not support salaries or allowances, except in the cases listed below
- b) Total project cost should be allocated as follows;
 - i) Administrative overheads 10%
 - ii) Incentive(Honorarium) 10%
 - iii) Core Activity 80%

Incentive (10% Honorarium) should be paid directly to the Principal Investigator on submission of final report. In addition, this amount should be shared among the research team members.

- i) Administrative overheads of 10% of the total budget is payable to the grantees institutions/ department/ organisation for field and laboratory based research respectively.
- ii) Stipends to support post-graduate students are permissible; no allowances other than what is stipulated under the scheme shall be paid. Accordingly, students may be paid stipend worth \$300 per month and book allowance of \$500 for a period not exceeding 12 months.
- iii) Supervisors who co-ordinate major research projects and involve post-graduate students can be paid \$100 monthly allowance for a period not exceeding 12 months. In any case, the supervisors should not exceed two.
- iv) Well justified costs such as mileage, travel allowance- including transport overseas, are tenable under the scheme.

4.2 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 CGS regulations and procedures, in which case CGS, WB procedures will apply.
- ii) Within the PARIs, the administration and management of grants received by PARI scientists will follow established procedures of the PARI although funds from CGS 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, NGOs and private companies etc, the grant funds will be managed by the Fund Secretariat at the NAROSEC, 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 Appendix 5. The Accounting Officer of the institution shall sign the expenditure reports, along with the principal investigator. The NARO Secretariat will receive all financial documents from the institutions and individuals, check them for accuracy, and process payments.

4.3 Disbursement and Accounting for Funds

Funds will be disbursed according to a funding and implementation schedule agreed to by the parties and based upon the submitted budget and work plan. Funding requests should plan to cover activities for at least six months. The Council through NAROSEC will develop a schedule with each grant recipient to ensure proper funding accounting and reporting and timely disbursement of funds during the implementation phase.

- i) Upon receipt of the completed research grant forms from the grantee, NAROSEC will authorise the release of first quarter budget, in any case not exceeding 70% of the approved first year's budget for the implementation of the project. However, planned research equipment required to kick-start the project should be 100% funded. Grant disbursements will be made to the Head of the submitting institution, who will in turn release funds to the principal investigator and collaborating institutions/persons 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. However, based on the output, financial and technical reports funds may as well be released within the quarter.
- 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 a request to refund to NARO Secretariat of any fund which, in the opinion of the Secretariat has not been satisfactorily accounted for.
- iv) In the event of inflation or under budgeting, there should be some flexibility to allow re-allocation of funds, so long as the changes don't substantially affect the execution of the research. For any re-allocation exceeding 15%, the Principal Investigator should seek authorisation from NAROSEC to adjust the initial budget.
- v) NARO Secretariat and other audit teams reserve the right at any time to inspect the financial details relating to the projects.
- vi) Any equipment/ material purchased from the grant shall remain the property of the NARO Council at the end of the project until the Council decides otherwise.
- vii) In case of loss or death, appropriate reporting procedure should be followed.
- viii) In the case of development projects NARO Council shall have joint ownership with the grantee of any equipment / materials commercialised.

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

5. REPORTING

5.1 *Progress and Final Reports*

The executing agency must present quarterly progress reports (Annex 9) to the Director General, Director Quality Assurance and Coordinator CGS indicating project progress and outcomes. The reports should describe the activities carried out during the period and the results obtained in relation to the specified objectives and indicators developed as part of the monitoring and evaluation plan. The reports should also give a summary of expenditure. Project participants will be expected to produce a detailed annual report (Annex 10).

At the end of the project, the executing agency must submit a final report to the Director General, NARO describing the most significant features, including the principal results, outcomes and expected impacts. The report should also identify any significant constraints or issues that might impede long-term success or adoption. The presentation of the final project report and its approval by the Council is a condition precedent to the final disbursement.

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 and projected expenditure plan. Where necessary, the Head of the submitting institution may be asked to clarify, make additions and corrections.

All reports should be prepared according to the format for presentation given in Annex 11. Copies of all progress and final reports should be given to the Head of submitting institution/department. A certificate of completion (Annex 12) shall be issued to all projects successfully implemented. In the case of projects terminated, a project termination order shall be issued, clearly specifying the reason for termination of contract.

5.2 *Sanctions*

Progress reports are due 10 days after the end of each three-month period. If the progress report is not received within two weeks after the due date, the head of submitting institution will be notified to suspend disbursement of funds until the report is received. The NARO Secretariat will not approve further disbursement of grant funds until the situation is satisfactorily remedied.

5.3 *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 Council 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 case of negligence or under performance on the part of the Principal Investigator, the lead implementing agency shall be held accountable.
- iv) 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 Director General NARO. 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.
- v) If payments are within the financial limit, and not subject to dispute, the Fund Secretariat will pay all sums due and outstanding under the terms of the contract up to the date of termination.

6. MONITORING AND EVALUATION

Routine monitoring of research projects will be done by the NARO Secretariat, based on progress reports submitted by the principal investigator of the research projects. The NARO Secretariat and ZFS 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.

NARO and Zonal Fund Secretariats will fund their own monitoring activities.

During such visits, the following will be reviewed:-

- i) Progress in the implementation of projects;
- ii) Cross – institutional collaboration/partnership as provided in the original write up
- iii) Changes that can be made for those projects that appear to be in trouble;
- iv) Whether the reports reflect reality and to gain information to pass on to others as to how to conduct a successful project.
- v) Experts appointed by the NARO Secretariat shall review all progress and final reports.

The NARO Secretariat will maintain a database with the evaluation results of all projects financed under the CGS. . These data will serve as a reference for evaluating the institutional capacity of the executing agencies, as well as provide a source of lessons learned for adaptive research and technology transfer in the country.

7. CGS INDICATIVE TIMETABLE

The indicative timetable of the CGS is provided in Annex 15 and 16 respectively.

8. PUBLICATION AND DISSEMINATION

The Council through NAROSEC 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 CGS should be acknowledged in publications based on research supported by CGS as follows:- “This research was supported (in part) by (donor/funder through) the Competitive Grant Scheme of Uganda”.

9. FUNDING SOURCES AND POLICIES

Funding of CGS comes from public and private institutions, development partners and individuals. This fund is put in place to encourage competition in the provision of research services in order to enhance quality and relevance of the services provided. Therefore, earmarking of funds for specific areas of research by donors, organizations and individuals is not permitted, nor are special conditions relating to property rights and royalties. Once the agreement has been signed, funds will be managed and disbursed according to the CGS financial regulations and procedures.

To attract private sector/industry funding, the Council will allocate matching funds in support of research grants supported through private sector/industry funding. Matching funds may come either from CGS funds or from the Council budget, where the proposed research is seen by NAROC to be highly complementary to other research work being supported by the Council.

The Competitive Grant Scheme provides attractive means by which the private sector/industry can contract research by offering a transparent and competitive system of research grant award, accounting, monitoring and evaluation. The incentives for such are:

- i) the provision for CGS to give matching funds to those provided by the private sector/industry;
- ii) the negotiated ownership of patent and property rights over the technologies developed using funds from CGS; and
- iii) Timely disbursement of funds by the Competitive Grant Scheme for implementation of projects and hence timely completion of projects and application of research results.

The Agricultural Research Trust Fund is being established to support the operations of the Uganda NARS. Accordingly, the Council will maintain a separate interest bearing account with a commercial bank to receive grants and donations towards the establishment of an Endowment Fund which will support the CGS.

ANNEXES

Annex 1: Invitation for Expressions of Interest

The National Agricultural Research Organisation Council (NAROC) operates a Competitive Grant Scheme for Agricultural Research. The objective of the scheme is to promote agricultural 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.

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.

The NAROC through CGS will provide grants to institutions, individuals and groups of researchers selected on the basis of a formal proposal to provide the advertised research services. The NAROC is now inviting Expressions of Interest from public and private institutions, individuals or groups of researchers in Uganda to conduct research of national strategic importance. The expression of interest is a mechanism instituted to help potential agricultural research service providers get feedback on their prospects of getting support before devoting significant resources to develop proposals.

The NAROC is now requesting Expressions of Interest only in the following research areas:

- Area 1
- Area 2
- Area 3

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

The National Agricultural Research Organisation Secretariat,
Physical Address: **Plot 1-3 Lugard Avenue**
Postal Address: **P.O Box 295, Entebbe**
Telephone: **+256-414320512, 320341/2, 322682**
Fax: **+256-414321070**
E-mail: dgnaro@naro.go.ug or dgnaro@infocom.co.ug; researchdirector@naro.go.ug;
cgs@naro.go.ug
Website: www.naro.go.ug

Deadline for receipt of Expressions of Interest:

**Director General
National Agricultural Research Organisation.**

Annex 2: Format for preparation of Expression of Interest

1. Introduction

Expressions of Interest must be submitted in English by either e-mail, post or fax and should provide the following details:

- The institution or individual who will be held legally responsible for the conduct of the research.
- Physical and postal address and name of lead researcher/contact person.
- Telephone number and e-mail address (if available).
- Interpretation of terms of reference and outline of research methodology.
- A capability statement of 3-5 pages showing applicant's experience of similar work and track record.
- Abridged CVs of key personnel.
- Evidence of registration with NAROC as an agricultural research service provider
- Letter(s) of authorization and support from institutions employing proposers.
- Evidence of partners/collaborators availability and preparedness to participate

2. Format for covering letter for Expression of Interest

LETTERHEAD

[Should show physical and postal address, telephone number, fax number and e-mail address (if possessed)]

Date

The Director General,
National Agricultural Research Organisation
P. O. Box
Kampala

Dear Sir/Madam

Expression of Interest, Reference No., Title

We are pleased to submit the attached Expression of Interest in response to the invitation reference number and title shown above.

Yours faithfully

Name of Principal Investigator.

Name of body that will be legally responsible for transactions with NARO for the delivery of the specified research services.

3. *Format for presentation of Expression of Interest*

EXPRESSION OF INTEREST

Reference Number:

Title:

Interpretation of terms of reference:

Methodology to be used:

Demonstration of competence: (reference to key requirements of terms of reference and the qualifications and experience of proposed research team)

Demonstration of capacity to administer contract (reference to experience in administration and financial management of similar projects)

Appendix:

- Summary CVs of researchers
- Letters of authorisation to participate (where researchers are employed by other institutions)

4. *Format for Summary CV of researcher*

Name

Male

Female

Date of birth

Nationality

Residence

Postal address

Physical address

Educational qualifications [Tertiary and above (unless highest qualification held is less than tertiary) including relevant technical short courses]

Summary of work experience [in reverse chronological order]

5. *Format for letter of authorisation for researcher who is part of a proposal that is not submitted by his/her employer*

LETTERHEAD OF INSTITUTION

[Should show physical and postal address, telephone number, fax number and e-mail address (if applicable)]

Date

The Director General,
National Agricultural Research Organisation PO Box
Kampala

Dear Sir/Madam

Expression of Interest, Reference No., Title

I refer to the above-mentioned Expression of Interest. This is to confirm that [Mr, Ms, Dr, Prof] is employed by this institution. It is also to confirm that he/she has the permission of the institution to participate in the delivery of research services should he/she be a member of the contracted research team.

Yours faithfully

[Name of officer

Position of Officer (preferably head of institute)]

Annex 3(a): Appraisal Form for Expressions of Interest

Title of research project:.....

Reference No.

Name of Principal Investigator:.....

Date.....

No.	Criteria	Standard		
Eligibility			Check	
1	Legal responsibility	Name of registered institution or individual		
2	Contact address	Postal address and Phone number		
3	Letter of authorisation	If researchers are employed by an institution that is not the proposer, then attach letters authorising them to be part of team		
4	CVs of researchers	CVs should be in summary format of 1-2 pages		
			Score	
Technical appraisal			Max	Actual
1	Understanding of the problem	Understanding the research task	6	16
		Familiarity with the research area	5	
		Clear vision of possible solutions	5	
2	Scientific Merit and quality	Scientific and Clear Methodology	10	14
		Availability of necessary facilities to sustain project activities after closure	4	
3	Relevancy of results	Consideration of socio-economic issues	8	17
		Communications strategy	3	
		Applicability of results	6	
4	Likelihood of method to produce desirable results	Poverty focus	6	13
		Gender mainstreaming	3	
		Environmentally sustainable	4	
5	Capability of the research team	Academic qualifications at appropriate levels	2	10
		Appropriate experience on similar work in the past	4	
		Appropriate mix of disciplines	4	
TOTAL			70	

Rating: Expressions of Interest that fail to meet the Eligibility criteria are automatically rejected. Otherwise the Expressions of Interest with the four highest scores are invited to submit full proposals.

Annex 3(b): Environmental Impact Assessment Screening Checklist

<p>Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <u>Scoping Guidance</u></p>	<p>Yes / No /? Briefly describe</p>	<p>Is this likely to result in a significant effect? Yes/No/? – Why?</p>
<p>Brief Project Description:</p>		
<p>1. Will construction, operation or decommissioning of the Project involve actions which will cause physical changes in the locality (topography, land use, changes in waterbodies, etc)?</p>		
<p>2. Will construction or operation of the Project use natural resources such as land, water, materials or energy, especially any resources which are non-renewable or in short supply?</p>		
<p>3. Will the Project involve use, storage, transport, handling or production of substances or materials which could be harmful to human health or the environment or raise concerns about actual or perceived risks to human health?</p>		
<p>4. Will the Project produce solid wastes during construction or operation or decommissioning?</p>		

Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <u>Scoping Guidance</u>	Yes / No /? Briefly describe	Is this likely to result in a significant effect? Yes/No/? – Why?
5. Will the Project release pollutants or any hazardous, toxic or noxious substances to air?		
6. Will the Project cause noise and vibration or release of light, heat energy or electromagnetic radiation?		
7. Will the Project lead to risks of contamination of land or water from releases of pollutants onto the ground or into surface waters, groundwater, coastal waters or the sea?		
8. Will there be any risk of accidents during construction or operation of the Project which could affect human health or the environment?		
9. Will the Project result in social changes, for example, in demography, traditional lifestyles, employment?		
10. Are there any other factors which should be considered such as consequential development which could lead to environmental effects or the potential for cumulative impacts with other existing or planned activities in the locality?		

<p>Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <u>Scoping Guidance</u></p>	<p>Yes / No /? Briefly describe</p>	<p>Is this likely to result in a significant effect? Yes/No/? – Why?</p>
<p>11. Are there any areas on or around the location which are protected under international or national or local legislation for their ecological, landscape, cultural or other value, which could be affected by the project?</p>		
<p>12. Are there any other areas on or around the location which are important or sensitive for reasons of their ecology e.g. wetlands, watercourses or other waterbodies, the coastal zone, mountains, forests or woodlands, which could be affected by the project?</p>		
<p>13. Are there any areas on or around the location which are used by protected, important or sensitive species of fauna or flora e.g. for breeding, nesting, foraging, resting, overwintering, migration, which could be affected by the project?</p>		
<p>14. Are there any inland, coastal, marine or underground waters on or around the location which could be affected by the project?</p>		
<p>15. Are there any areas or features of high landscape or scenic value on or around the location which could be affected by the project?</p>		

Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <u>Scoping Guidance</u>	Yes / No /? Briefly describe	Is this likely to result in a significant effect? Yes/No/? – Why?
16. Are there any routes or facilities on or around the location which are used by the public for access to recreation or other facilities, which could be affected by the project?		
17. Are there any transport routes on or around the location which are susceptible to congestion or which cause environmental problems, which could be affected by the project?		
18. Is the project in a location where it is likely to be highly visible to many people?		
19. Are there any areas or features of historic or cultural importance on or around the location which could be affected by the project?		
20. Is the project located in a previously undeveloped area where there will be loss of greenfield land?		

<p>Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <u>Scoping Guidance</u></p>	<p>Yes / No /? Briefly describe</p>	<p>Is this likely to result in a significant effect? Yes/No/? – Why?</p>
<p>21. Are there existing land uses on or around the location e.g. homes, gardens, other private property, industry, commerce, recreation, public open space, community facilities, agriculture, forestry, tourism, mining or quarrying which could be affected by the project?</p>		
<p>22. Are there any plans for future land uses on or around the location which could be affected by the project?</p>		
<p>23. Are there any areas on or around the location which are densely populated or built-up, which could be affected by the project?</p>		
<p>24. Are there any areas on or around the location which are occupied by sensitive land uses e.g. hospitals, schools, places of worship, community facilities, which could be affected by the project?</p>		
<p>25. Are there any areas on or around the location which contain important, high quality or scarce resources e.g. groundwater, surface waters, forestry, agriculture, fisheries, tourism, minerals, which could be affected by the project?</p>		

<p>Questions to be Considered For further guidance on factors to be considered see the more detailed questions listed in the <u>Scoping Guidance</u></p>	<p>Yes / No /? Briefly describe</p>	<p>Is this likely to result in a significant effect? Yes/No/? – Why?</p>
<p>26. Are there any areas on or around the location which are already subject to pollution or environmental damage e.g. where existing legal environmental standards are exceeded, which could be affected by the project?</p>		
<p>27. Is the project location susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme or adverse climatic conditions e.g. temperature inversions, fogs, severe winds, which could cause the project to present environmental problems?</p>		
<p>Summary of features of project and of its location indicating the need for EIA</p>		

Annex 4: Project Preparation Facility Application Form

Only use this form if you are applying for a project preparation grant

Office use only

Reference Number:(of expression of interest)		Date received by NARO Secretariat:	
Acknowledged by:			
Review by Secretariat		Status:	
1. Project title			

2. Contact details of Study Leader [attach summary CV (1 page)]

Name:		Tel:	
Position:		Fax:	
Address:		E-mail:	

3. Details of Study Leaders Organisation/Institution

Name:		Tel:	
Name of Director:		Fax:	
Year established		e-mail	
Type of organisation		Address	

4. Study Implementers

List **ONLY** those people who will **implement** this study (i.e. those people who have a clearly defined role in the study and will conduct the study on a regular basis).

You must **NAME** these people and outline their role in the study.

[for example, in a PPG there are likely to be 1-2 study implementers)

5. Study Location

Name the district, counties and sub-counties where you intend to conduct fieldwork, if applicable

6. Project Duration

(maximum duration for a PPG is 6 months)

From: month/year

To: month/year

7. Total Budget**8. Background and purpose of the Study** *[not more than 200 words]*

Provide a brief, but concise background to describe why you need to carry out this study. (i.e. maybe you have been doing some work on establishing an agro forestry nursery, but realise that the market for agro forestry products is not well understood. You need more evidence to prove demand for the research, to identify stakeholders and also to identify suitable collaborators, before submitting a concept note to the NARO Secretariat)

9. Outputs *[not more than 100 words]*

What will you produce from this study? From the above example, your outputs may be (i) evidence of a demand for agro forestry products documented and (ii) concept note on the market for agro forestry products produced.

An output from the study must be a concept note submitted to the NARO Secretariat.

10. Activities *[not more than 400 words]*

Provide a brief outline of what you are going to do to get the outputs. For example, you may conduct a rapid survey, a stakeholder workshop, etc. Ensure that the budget is sufficient for the activities you list here.

The activities you state here must match those listed in the work plan

11. Budget (You must include this budget with your application)

Items	Quantity	Unit cost per item	Estimated cost				Total
			Jan-Mar	Apr-Jun	Jul-Sep	Oct-Dec	
Office supplies							
Phone, fax, postal costs, etc							
Travel and accommodation ²							
Vehicle use (km x							

² Subsistence rates for CGS supported projects. Obtain details from Secretariat.

sh/km) ³							
Workshop/meetings							
Dissemination activities (specify)							
Administration/over head costs ⁴							
Other (specify)							
Other (specify)							
Bank charges							
TOTAL							

Work plan

Activity	Where (place where activity will be done)	Who (name of person)	When (estimated date)	Duration (total number of days)

12. Statement of Institutional/Organisation capability

If you have a Statement of Capability for your institution/organisation please attach it to your proposal. Please also complete the following summary form.

Name of institution/organisation:	
Number of technical staff	
Number of non-technical staff	
Is there a separate financial/accounting department	YES / NO
Type of organisation/institution:	(e.g. Government Department; Institute of Higher Education; University; NGO, etc.)
Year registered in Uganda:	
Date registered as Research Service Provider	
Number of years operating in Uganda	
Annual turn-over (shillings)	

³ RATES: car/4WD/small truck -----Shs/km; motorbikes ----- Shs/km

⁴ do not use a percentage, specify the amount

Independent Board of Directors (i.e. do not receive salary from the organisation)	YES / NO
Links with other organisations	(name the organisation and the type of link)
Sources of funding:	

Signature of PI

Date:

Annex 5: Format for Bid Notice

INVITATION TO SUBMIT PROPOSAL FOR THE PROVISION OF RESEARCH SERVICES TO THE NATIONAL AGRICULTURAL RESEARCH ORGANISATION

CONTENTS OF THE DOSSIER

SECTION A - INVITATION TO BID

Letter of invitation to tender.

SECTION B - RULES FOR BIDDING

Instructions to bidders.

SECTION C - CONTRACTUAL AND TECHNICAL PROVISIONS

The Special Conditions with the draft contract and its annexes

- (a) Terms of Reference
- (b) Organisation
- (c) Description and Qualification of Personnel
- (d) Budget and Price Breakdown

SECTION A: LETTER OF INVITATION TO TENDER

Dear Sir/Madam/Messers,

Subject: Reference no.

Bid for the Provision of Agricultural Research Services to the National Agricultural Research Organisation, Entebbe, Uganda

I am writing to inform you that you/your group/your institution is invited to take part in the bid issued by the National Agricultural Research Organisation Council for the provision of agricultural research services. You will find attached the bid dossier. Your bid should be drawn up in English and presented as specified in the invitation to bid dossier. It should be addressed to, and reach the NARO Secretariat Office at (Physical address), P.O. Box Entebbe not later than 17.00 hours Uganda local time on(date)

Yours faithfully

[Name]

Director General

Enc: Bid dossier

c.c. [All those to be notified – e.g. Council Chairman]

SECTION B: INSTRUCTIONS TO BIDDERS

1. The language of the bidding procedures and of the contract is English.
2. Bidders shall submit their proposals not later than(Date) at 17.00 hours Uganda local time in the form of one original and four copies marked as such, addressed as indicated in the letter of invitation to bid. Bids received later than the indicated date and time shall not be considered.
3. The contract concerns the provision of agricultural research services to the National Agricultural Research Organisation of Uganda as described in Annex 5A to the draft contract and in Section C of the bid dossier.
4. Bids shall be submitted in sealed envelopes only bearing the address given on the letter of invitation to bid.
5. Bids submitted in accordance with the above procedure shall comprise the following documents:
 - a. Appendix A to the draft contract (the Terms of Reference) as provided in the bid dossier with each page initialled by the bidder.
 - b. Appendix B to the draft contract (Organisation), to be drawn up by the bidder.
 - c. Appendix C to the draft contract, to be drawn up by the bidder, and describing the team of researchers.
6. The programme, nature and scope of the services to be provided is described in Appendix A to the contract (the Terms of Reference).
7. The contractor is required to provide details of the individuals proposed and detailed in Appendix C (Team of researchers).
8. The assignment will largely be carried out in Uganda.
9. The time limit for performance of this contract is set at ----- years.
10. The Contracting Authority is the National Agricultural Research Organisation as represented by the Director General. The monitoring duties shall be undertaken by the NARO Secretariat.
11. Bidders shall be bound by their bid for a period of 90 days from the closing date of the submission of the tenders. Any alteration of the submitted bids occurring during this period will result in the rejection of the bid.
12. Bid prices shall be drawn up in Uganda Shillings.
16. The contract shall be awarded to the bidder who has submitted the most technically proficient and economically advantageous bid among those found to conform to the rules of the bid. The evaluation shall be carried out as follows:
 - a. Examination of the admissibility of bids;
 - b. Examination of technical conformity, in particular compliance with the conditions laid down in Appendix A to the draft contract (Terms of Reference). This pre-screening shall be carried out on the basis of the system of grading described below:
 - i. *Organisation and Methodology (30 Marks)*: Proposed method of implementation, which will give details of the scientific methods, researchers' inputs, process of review and consultations, and overall timing and execution of the assignment.

- ii. *Administrative Capacity (20 Marks)*: Ability to ensure staff quality and continuity throughout the assignment; ability to manage finances; experience of similar projects successfully implemented, or being implemented.
 - iii. *Calibre of Personnel (50 Marks)*: Professional qualifications (20) and relevant practical and professional experience (30) of the proposed researchers.
- c. Ranking and grouping of responsive bids as follows:

CRITERIA	CHECK
1. GENERAL ELIGIBILITY	
1.1 Consistency with Priorities for call	
1.2 Involvement of inter-institutional partners	
1.3 Identification of implementers	
1.4 Adherence to project period and funding limits	
1.5 Commitment of contributions	
1.6 Conformity with general guidelines	
	POINTS
2. ORGANISATION AND METHODOLOGY	
2.1. Proposed organisation and method of implementation	30
2.2. Administrative capacity	20
SUB-TOTAL	50
2. CALIBRE OF PERSONNEL	
3.1. Relevance of education/professional qualifications	20
3.2. Experience with similar research projects	30
SUB-TOTAL	50
TOTAL MARKS	100

Category 1 : Adequate (60 - 100 points)

Category 2 : Inadequate (0 - 59 points)

Bids classified as inadequate shall be excluded from further consideration.

17. Contracting Authority shall enter into negotiations with the Research Service Provider which submitted the lowest offer in Category 1. If these negotiations are not successful, the same procedure shall be adopted for the firm having submitted the second lowest offer in Category 1 and so on until Category 3 tenders are exhausted. If no negotiations are successfully concluded, the Contracting Authority may either not pursue the contract or recommence the procedure using the method deemed most appropriate.

SECTION C: RESEARCH CONTRACT

THE REPUBLIC OF UGANDA
IN THE MATTER OF THE CONTRACTS ACT CAP 73
AND
IN THE MATTER OF A CONTRACT FOR THE PROVISION
OF.....(SPECIFICALLY THE SERVICES)

This contract is made thisDay of.....20...

BETWEEN

The National Agricultural Research Organization of Plot 1-3, Lugard Avenue, P.O Box 295 Entebbe Uganda (hereinafter referred to as “NARO”, which expression shall where the context so admits include its successors and assignees) on the one hand;

AND

M/S.....Of P.O Box (Hereinafter referred to as “the Contractor”, which expression shall where the context so admits include its successors and assignees) on the other hand.

WHEREAS:-

NARO is the principal institution for the coordination and oversight of all aspects of Agricultural research in Uganda.

NARO has been mandated to manage the Competitive Grant Scheme,

NARO seeks to contract independent agricultural research service providers under the said scheme above;

AND WHEREAS the Contractor has been identified as a person/body who/which is engaged in the field of Agricultural research,

NOW THIS CONTRACT AGREEMENT WITNESSETH FARTHER AS FOLLOWS:

1. NARO agrees to finance and the contractor agrees to provide agricultural research services under the terms and conditions laid out in appendixes A, B, C and D, which form part of this contract.
2. The contractor shall provide quarterly, monthly and annual reports to NARO on the performance of the contract or any related matter provided that it shall be proper for the contractor at any time to inform NARO of any fact or decision concerning the contract as may, in the opinion of the contractor, be necessary.
3. The reports shall be deemed approved if no written response is made by NARO to the contractor after two weeks from the date of presentation of such reports.
4. The contractor shall take out any insurance which by law is necessary under this contract.

IN WITNESS HERETO the parties have attached their seals and signatures this day of
.....20....

Signed for and on
Behalf of NARO

.....
DIRECTOR GENERAL

Witnessed by:

.....
LEGAL OFFICER, NARO

Signed for and on
Behalf of the Contractor

.....
PRINCIPAL INVESTIGATOR

Witnessed by:

.....
WITNESS

Drawn and filed by:

NARO SECRETARIAT, P.O Box 295 Entebbe .

APPENDIX A: FORMAT FOR TERMS OF REFERENCE

Reference number:

Title:

Background

Statement of the research opportunity – e.g. testing of new crop technology, the target group, the location where implementation is to take place, the benefits that could result from successful completion of the research.

Objectives of the research

Statement of what the research is seeking to achieve, e.g. to demonstrate that an improved crop variety can thrive under selected conditions.

Expected outputs

Statement (quantified where possible) of what the service provider is expected to produce by the end of the contract period. e.g. Journal paper on methodology and results of research; report on research to selected farmer fora; production of brochures/posters for use by advisory service providers.

Activities

An indicative list of the major activities expected to be carried out by the research service provider. This should be a minimum that will be embellished in the proposals submitted by those invited to tender.

Time frame

An indication of when research is expected to begin and finish.

Statement of deadline for proposals.

Personnel requirements

Indicative statement on personnel qualifications, skills and experience deemed essential for the envisaged task (this should not be binding; alternative formulations in proposals should be allowed. These may then be compared with the standard set). Care should be taken to request competence relevant to the tasks to be undertaken.

Reporting

Indication of who progress and financial reports should be submitted to, together with frequency and format.

APPENDIX B: ORGANISATION

To be drawn up by the bidder and containing a description of the proposed organisation/methodology of running the project; any assistance to be received from subcontractors for the performance of the contract.

APPENDIX C: TEAM OF RESEARCHERS.

To be drawn up by the bidder, it shall include a list of experts with their names and curriculum vitae (giving at least the following information - date of birth, nationality, languages, training and work experience and current employer and place of work) so that their competence, experience and aptitude can be evaluated; copies of certificates, a declaration of availability signed by each agent proposed and a list of specialist subcontractors with their references.

APPENDIX D: BUDGET (To be completed by bidder).

PROJECT BUDGET SUMMARY

Item No.	Item description	Total Cost (Ushs)
01		
02		
03		
04		
05		
06		
07		
08		
09		
10		
11		
12	Institutional overhead (10%)	
13	M&E (7 – 9)%	
14	Contingencies (5%)	
	TOTAL	

DETAILED BREAKDOWN OF COSTS

COST CATEGORY	UNIT	UNIT COST	QUANTITY	TOTAL COST ⁵
1. PROFESSIONAL FEES				
1.1.	person– months			
1.2.				
SUB-TOTAL 1				
2. OPERATING COSTS				
2.1. Per diems	Days			
2.2. Local transport				
2.3. Local office costs (, printing, reports, communications, etc.)	itemise			
2.4. Other				
SUB-TOTAL 2				
3. CAPITAL ITEMS				
3.1	itemise			
3.2				
SUB-TOTAL 3				
GRAND TOTAL				

⁵To be stated in Uganda Shillings.

Annex 6: Format for Research Proposals

SECTION A: VITAL INFORMATION

1. Title of bid (given in bid documentation)
2. Reference number (given in bid documentation)
3. Name of organisations submitting bid. The proposal document must clearly identify the entity that will serve as the principal institution and those that will serve as partners.
4. Name of institution or individual that will be held legally responsible for the conduct of the research and, in particular, for the correct use of grant funds.
5. Physical and postal address and name of contact person if different to the institution or individual to be held legally responsible
6. Telephone number and e-mail address (if possessed)

SECTION B: EVALUATION CRITERIA

B1: ELIGIBILITY

1. *Evidence of status:* Applications may be submitted by individual or teams of scientists who are either employed by public or private institutions, or are self-employed. Evidence of status of all the scientists who will conduct the research should be submitted in support of the proposal. Where scientists are employed by one or more institutions a letter supporting the proposal signed by the institution(s) should be attached to the proposal.
2. *Academic qualifications:* Scientists who will conduct the research should possess, as a minimum, a Bachelors degree. A copy of the degree certificates should be attached to the proposal.
3. *Relevant experience:* The proposal should have attached CVs of the research scientists demonstrating past experience in similar research. Each CV should contain the names of three referees who can comment on academic performance and work experience.
4. *Residence:* The scientist(s) needs to demonstrate residence in Uganda by providing a current postal and physical address. This may be waived for scientists fielded by international collaborators.
5. *Consistency with the national Strategic Agricultural Research Plan and the priorities chosen for the present call for proposal:* As minimum requirement all proposals must be consistent with the national agricultural research strategic plan and with the priorities established by the NAROC as part of the implementation of this plan, relevant to the present call.
6. *Involvement of inter-institutional partners:* The proposals must demonstrate a partnership among stakeholders in planning and implementation.
7. *Duration of project and grant limit:* The proposal must adhere to the project period and funding limits established in proposal solicitation and by any other project guidelines issued by the Council

8. *Commitment of contributions to the project:* Proposals will indicate clearly the inputs of human, material and financial resources to be provided by the principal executing agency and the various partners involved in the project. The project must include signed documentation from the parties confirming those commitments.
9. *Conformity with general project guidelines:* Proposals must follow the guidelines established in the Proposal Preparation Guidelines. All projects must include information requested, including a detailed budget, work plan, and monitoring and evaluation plan. Projects that do not include all relevant information will be considered non-responsive.

B2: RELEVANCE AND INTERPRETATION OF TERMS OF REFERENCE

Proposals should contain an interpretation of the terms of reference. This should demonstrate that the proposers understand the issues and explain how the research to be carried out will address the identified opportunity in a relevant way.

B3: METHODOLOGY

The methodology for conducting the research should be clearly spelt out in the proposal.

B4: TECHNICAL AND SCIENTIFIC QUALITY

The proposal should lay out the approach to the problem and describe research methodology to be used. It is important to demonstrate how the proposed research will support the dissemination and adoption of productivity-enhancing technologies (proposals should indicate the means by which results will be disseminated). Criteria by which the Technical Section of the Methodology will be scored are:

1. Scientific merit and quality
2. Appropriateness of the research methodology
3. Likely achievement of objectives within the time frame and budget indicated
4. Availability and suitability of the necessary research facilities, and contributions in cash and kind from all sources (where research facilities have to be hired, a letter of consent from the institution that will hire out the facilities should be attached).
5. Proposed approaches to hazardous procedures and ethical considerations

B5: SOCIAL AND INSTITUTIONAL IMPACT

Proposals shall be scored according to the extent to which they address and/or comply with DSIP principles in the following aspects:

1. Poverty focus (proposals should respond to the demands of poor farmers.)
2. Deepening decentralisation (research should be conducted in conjunction with farmers organisations at decentralised levels of administration)
3. Targeting market opportunities (proposals should indicate the market opportunities where research will improve productivity of a commodity)
4. Gender focus and gender-responsiveness (proposals will need to demonstrate that gender issues have been taken into account)

5. Participatory approach (provision needs to be made for two-way flow of information between researchers and farmers)
6. Sustainable natural resource management (proposals will have to show that the research will contribute to improved natural resource management, or as a minimum, not make it worse)
7. Collaboration between institutions and disciplines (The PMA has demonstrated that poverty is a multi-dimensional issue. Working with other interventions may therefore increase the effectiveness of research outputs. Some possible collaboration opportunities might involve public and private institutions, universities, NGOs/CBOs, the NAADS, local government and use of PMA/PAF funding).
8. Capacity building of agricultural research competence (e.g. by giving opportunities for young scientists to gain experience by working on the research project)

B6: COST-BENEFIT CONSIDERATIONS

Proposals to be supported must demonstrate a contribution to the national economic development and lead to increased agricultural incomes and stability of production in the medium to long-term. Criteria to be assessed here are:

1. Expected economic benefits (a large number of beneficiaries is sought and benefits should include projected increase in farm incomes)
2. Proposal is cost-effective (costs are estimated to be reasonable for the proposed activities to be carried out and the outputs to be achieved)
3. Relatively high level of benefits relative to costs (a high level of benefits or a low level of costs on their own are less important than a high ratio of benefits to costs).

B7: COMMUNICATION AND DISSEMINATION

The purpose of publicly-funded agricultural research is to improve the welfare of, especially, poor farmers. Communicating research findings to farmers should be a central consideration of a research project. Proposals should therefore include provision for disseminating research results. Criteria are:

1. Assessment of communication needs of target group
2. Provision to develop appropriate materials for intended beneficiaries
3. Provision for dissemination information on results with partners

SECTION C: WORK PLAN AND MONITORING INDICATORS

In order to facilitate project monitoring, activities and expected outputs should be clearly defined. Indicators of success should be identified. The scheduling of activities should be presented in a work plan. A Project LOGFRAME is a must.

Work Plan

Project activities must be itemized with planned start and completion dates. All quantitative indicators should be given a number (quantity) and a unit description. The number can either be an actual number or a percentage. Some tasks that are difficult to quantify may simply be described. The table below provides an example of a sample work plan. It shows how all types of activities can be quantified:

Sample work plan

Activity No.	Description	Planned Start Date	Planned Finish Date	Indicators: Quantitative Targets	
				Qty	Units
1.	Collect baseline data	15/6/04	31/7/04	1	Report produced
2	Train participants in simple research techniques	1/8/04	5/8/04	20	Participants trained
3	Prepare ground (rehabilitate ponds)	8/8/04	19/8/04	5	Ponds rehabilitated
4	Procure materials	21/8/04	25/8/04	30	Tilapia breedstock
5	Experiments with tilapia breeding	1/9/04	30/11/04	5	Experiments
6	Invite tenders/quotations from consultants	15/11/04	15/12/04	3	Consultants invited to tender/quote
7	Select consultants	16/12/04	31/12/04	1	Consultancy team selected
8	Appoint consultants	1/1/05	5/1/05	1	Contract issued

Indicators

Each project will have some overall quantitative indicators – or indicators not linked to a single activity. Some of these indicators will refer to outputs and others will refer to effects. Indicate the anticipated quantities for each indicator.

Output Indicators

Indicator No.	Description	Quantitative Indicators	
		Qty	Units
1.			
2.			
3.			
4.			
5.			
6.			
7.			

SECTION D: BUDGET

All project inputs should be costed and included in a proposal budget. A recommended layout for the budget is included in the bid documentation. Budgeted figures should be supported by detailed calculations. Provision should be made for 10% institutional administrative overheads, M&E (7-9)% and for Contingencies 5% of budget.

Annex 7: Appraisal Form for Proposals

Name of Appraiser:.....

Title of research project:

Reference No.

Name of Principal Investigator:

No.	Criteria	Standard	
Eligibility			Check
1	Clear indication of who is legally responsible	Name of registered institution or individual	
2	Contact address	Minimum of postal address and telephone number indicating residence in Uganda	
3	Letter of authorisation	If researchers are employed by an institution that is not the proposer, then letter (s) authorising them to participate in team	
4	CVs of researchers attached	CVs should contain photocopies of certificates of academic awards and names of three referees	
1	Interpretation of terms of reference	Demonstration that PI understands the issues and the methodology and team will address the research opportunity in a relevant way	5
2	Human Competence		5
3	Monitoring indicators	Relevancy and consistence of M&E indicators	5
<i>Sub-total General</i>			15
4	Scientific merit and quality	Based on good bio-physical, social and economic research practice.	10
5	Appropriateness of the research methodology	Methodology should be clear in terms of suitability and applicability	8
6	Likely achievement of objectives within the time frame and budget indicated	Proposal should not be unrealistically ambitious in terms of targets set	4
7	Availability and	Facilities need to be	

	suitability of the necessary research resources, including Human Capital and Equipment (Laboratory facilities)	appropriate for the research to be carried out. Where facilities have to be hired, written confirmation of their availability is required	4
8	Proposed approaches to hazardous procedures and ethical consideration	Methods and results should minimise any harmful bi-products and/or deleterious effects on the environment	4
<i>Sub-total Technical Appraisal</i>			30
9	Poverty focus	Research should be undertaken for the benefit of poor farmers	8
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 and level of decentrallisation	Participatory process followed, multi-disciplinarity, diversity and complementarity of roles, evidence of agreements and consensus, etc.	5
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
<i>Sub-total Social and Institutional Appraisal</i>			27
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	Ratio of benefits to cost	

	benefits relative to cost	should be high. Thus high cost proposals can only be justified by very large benefits	8
<i>Sub-total Economic Appraisal</i>			16
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
<i>Sub-total Communications Appraisal</i>			12
Total Appraisal			100

Rating: Proposals that fail to meet the eligibility criteria are automatically rejected. Otherwise proposals are ranked according to Annex 5, Section B16 (d).

Annex 8: Notification of Award of Grant

LETTERHEAD

Ref:

[Date]

Ref: Project Proposal for Competitive Grant Funding

Further to our recent communication, I am pleased to inform you that your project proposal entitled has been approved for funding with a total budget of Ush..... (Amount in words).

We are now preparing the financing dossier for the implementation of the project and we require some additional information from you. We are enclosing some tables for you to fill in and return to us. This information will then be included in the financing dossier.

Please do not hesitate to contact the undersigned should you need further clarification.

Yours sincerely

.....
Director General
National Agricultural Research Council

(Appendixs)

APPENDIX 1: REVISED VITAL DATA

Name of service provider	
Certificate of Incorporation – Number	
Certificate of Registration as Research Service provider.	
Project Title	
Project Number	
District	
Project Budget (Ush)	
Contact person	
Address for correspondence	
Telephone number	
Fax number	
E-mail address	

APPENDIX 2: REVISED WORK PLAN

Activity No.	Description	Planned Start Date	Planned Finish Date	Indicators: Quantitative Targets	
				Qty	Units

APPENDIX 3: REVISED OUTPUT INDICATORS

Indicator No.	Description	Quantitative Indicators	
		Qty	Units
1.			
2.			
3.			
4.			

APPENDIX 4: REVISED PROJECT BUDGET SUMMARY

Item No.	Item Description	Total (Ush)
1		
2		
3		
7		
8		
9	Institutional Overheads 10%	
10	M&E (7-9)%	
11	Contingencies (5%)	
	Total	

APPENDIX 5: DETAILED BREAKDOWN OF COSTS

COST CATEGORY	UNIT	UNIT COST	QUANTITY	TOTAL COST⁶
1. PROFESSIONAL FEES				
1.1.	person – months			
1.2.				
SUB-TOTAL 1				
2. OPERATING COSTS				
2.1. Per diems	Days			
2.2. Local transport				
2.3. Local office costs (printing, communications, reports, etc.)	itemise			
2.4. Other				
SUB-TOTAL 2				
3. CAPITAL ITEMS				
3.1	itemise			
3.2				
SUB-TOTAL 3				
GRAND TOTAL				

⁶To be stated in Ushs.

APPENDIX 6: REQUEST FOR INITIAL ADVANCE

Total estimated expenses for

Month 1-----Month 7-----

Month 2-----Month 8-----

Month 3-----Month 9-----

Sub-total ----- Sub-total -----

Month 4-----Month 10-----

Month 5-----Month 11-----

Month 6-----Month 12-----

Sub-total ----- Sub-total -----

TOTAL ADVANCE REQUESTED Ushs -----

Signatures:

Signed:-----
(Principal Investigator)

Signed:-----
(For Institution)

Date:-----

Title: -----

APPENDIX 7: PROJECT BANK ACCOUNT DETAILS

PROJECT NAME:	
PROJECT NUMBER:	
NAME OF BANK:	
ADDRESS OF BANK:	
ACCOUNT TITLE	
ACCOUNT NUMBER:	

Names of Agreed Bank Account Signatories:

	Name	ID No.	Designation
1.			
2.			
3.			

IMPORTANT: A copy of the bank document indicating the bank account details is required

Annex 9: Format for Project Quarterly 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

Output	Key activity	Activities planned for January – March 20..	Achievements	Gaps	Activities planned April – June 20..	Budget Jan – Mar 20..	Remarks

2. **STATUS OF IMPLEMENTATION (NARRATIVE)**
3. **CONSTRAINTS TO PROJECT IMPLEMENTATION**
4. **PROPOSED SOLUTIONS TO CONSTRAINTS**
5. **APPENDIXS (IF ANY)**

C: EXPENDITURE REPORT

Budget item	Item description	Expenditure this period (Ush)	Justified Expenditure in previous periods (Ush)	Cumulative expenditure to date (Ush)	Budget (Ush)	Balance (Ush)
Total						

D: SUMMARY OF EXPENDITURE

	Item description	Date of Expenditure	Receipt number	Amount (Ush)
Budget Line:				
Expenditure item				
1.				
2.				
Subtotal				
Budget Line:				
Expenditure item				
3.				
4.				
Subtotal				
Budget Line:				
Expenditure item				
5.				
6.				
Subtotal				
Total				

E: REQUEST FOR ADDITIONAL ADVANCE

Previous advance Ushs. -----

Balance (previous advance minus total expenditure) Ushs. -----

Request for additional advance to cover the following six months:

Month_____Month_____Month_____.

Month_____Month_____Month_____.

Total additional advance Ushs-----

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

Signatures:

Signed: -----
(**Principal Investigator**)

Signed: -----
(**For Institution**)

Date: -----

Title: -----

Annex 10: Format for the Annual Report
(Maximum length: 5 pages plus appendixes, if any.)

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 than 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 CGS and policy makers use to assess the impact of CGS supported research projects. Write the Executive Summary so that the 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 appendixes. Describe any products or procedures that have been patented.

Project Impact

Are results from the project being used? If so, how? 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 (utmost 15% or 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.		Sub-total

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.

NAROC Actions

Indicate how the Council can assist in promoting project implementation and productivity.

Annex 11: Format for End of Project Report

A: Cover Page

Project Title
Project Number
Name of service provider

FINAL TECHNICAL REPORT

DATE (Month and Year)
by
Author (Name and Organization)

Collaborators (Names and Organizations)

Start date

End date

Address

B: Project Completion Summary

Project Title:		
Reference No.		
Lead organization		
Principal Investigator		
Collaborating Organizations & Names of Project Implementers	Organization	Name
Purpose		
Location (Districts, sub-counties)	District	Sub-county
Start Date		
End date		
Total Budgeted Cost		
Total Actual Expenditure		

Executive summary

Briefly describe:

- aims of the project
- methodology employed
- key findings and
- Conclusions including significant implications for future activities or policy.

Background

The background should borrow from the proposal as much as possible. Indicate project purpose, specific objectives and outputs.

Methodology

Clearly describe the approaches and methods employed for each stage of the project, including (where relevant):

1. List the project sites with geographical location (district, sub-county), providing a map where possible;
2. Survey design, sample-frame and sampling procedures;
3. Experimental design and analysis (analytical framework and statistical models);
4. Plot sizes, variety names and dates of planting for all seed/stem/seedling multiplication activities, demonstrations/ learning sites, experimental trials (on-farm and on-station) *etc.*;
5. Animal/bird types and multiplication procedures;
6. Pest & disease assessment procedures;
7. Participatory assessment procedures;
8. Economic analysis including analytical models;
9. Analysis of qualitative data (where appropriate);
10. Workshop/ training procedures;
11. Dissemination procedures;
12. Pre-testing procedures for information materials for farmers
13. Number of men, women, youth (if data available) and farmer groups collaborating in the project (by project site if possible). Most projects should provide a list of participating farmer names and farmer group names as an Annex;

Findings

Report your findings against outputs. This should comprise a clear presentation of the results including illustrations and tables. There should be an exhaustive discussion of the results including the indicators of achievement highlighting any new knowledge. List outputs and indicators at the start of the section.

Output	Key activity	Activities planned for QTR.....	Achievements	Gaps	Activities planned next QTR.....	Budget Last QTR...	Remarks

1. Provide a discussion of the results including indicators of achievement. (*Provide photographs where possible*).
2. Use Standard International units where possible. If farmers units are used, provide approximate conversions.
3. Results of baseline and other surveys (including participatory appraisals, market appraisals, etc) should be included
4. Results of experimental trials should include summary statistics (standard errors, significance levels, etc)
5. Discussion/review/training workshops should be briefly summarised (purpose, dates, locations, participation, main topics/ agreements/ findings)
6. Study tours should be briefly reported (purpose, dates, locations, participation, conclusions)
7. Demonstrations should be briefly reported (purpose, location, attendance, etc)
8. Summary statistics of seed/ stem/ livestock/ machinery production/multiplication should also be reported – amounts sown/ amounts produced, etc
9. Provide a short report on results of pre-testing information materials
10. Summarise distribution/ dissemination of project outputs and information materials

Conclusions and Recommendations

Indicate how the key findings contribute to NARS purpose and goal. In addition, make inferences regarding the implications for future technology generation and dissemination activities and agricultural development policy in Uganda. Where possible, indicate any follow up activities planned either by your organization or others that will address the issues raised in the study

Lessons Learnt

General:

- Summarise what went well, what did not, and how difficulties were overcome
- Summarise lessons for implementation of similar projects elsewhere, for development and dissemination of improved technologies, for promotion of client-oriented approaches, increased stakeholder involvement, farmer empowerment, *etc.*

Partnership and collaboration

- Summary of partnership/participation arrangements with farmers/ other end-users
- Comment on the partnership and collaboration arrangements of the project [*i.e.* Memorandum of Understanding, Articles of Association, Verbal Agreement with community groups, local leaders, individuals, *etc.*]:
 - (a) with farmers/ beneficiaries;
 - (b) with project implementers (in terms of the original roles and responsibilities indicated in the project proposal);
 - (c) with your host organisation and other concerned organisations;
 - (d) with the NARO. What went well, what difficulties were faced and how were these overcome ?

Environmental Impact

- Briefly describe any environmental impact/likely future impact of the project (positive or negative). If there are any negative effects, what steps do you propose to mitigate this?

Stakeholders

- Briefly describe the primary and secondary stakeholders with whom you have worked, and the project impact /likely future impact upon them

Social equity (gender roles, disadvantaged groups, access to resources)

- Briefly describe the project's effects or likely future effects on different social groups. If the project successfully produced the stated outputs, how has this affected different sectors of the community? Indicate any special benefit that you think the project brought/ will bring to disadvantaged groups.

Economic impact

- What has been or is expected to be the effect of the project on beneficiaries' economic well-being.

Annexes

1. List of internal reports and dates produced
2. List of Information materials obtained from other sources and provided to farmers
3. Information materials produced for farmers and other stakeholders (including videos, cassettes and other non-print media, and scripts of any drama/ songs developed
4. Publications in conference proceedings, referred journals or book chapters

Annex 12: Format for Completion Certificate



**NATIONAL AGRICULTURAL RESEARCH ORGANISATION COUNCIL
COMPLETION CERTIFICATE**

Name of research project:

Project Number:

Names of research service provider(s):

Period of implementation:

This is to certify that the above-mentioned project has been completed according to the conditions described below:

1. Implementation of the research project has been completed to the satisfaction of the NAROC;
2. An end-of-project evaluation has been accepted as satisfactory by the NAROC;
3. An end-of-project financial report has been verified by the contracted firm of accountants and accepted as satisfactory by the NAROC; and
4. An end-of-project physical progress report has been accepted as satisfactory by the NAROC.

Director General

Chairperson NARO Council

Date:

Date:

For projects terminated, the following text shall be used:

PROJECT TERMINATION ORDER (as title)

This is to certify that the NARO Secretariat has terminated the above-mentioned project, as implementation has been unsatisfactory for the following reasons:

[Insert relevant reason]

1. Implementation was seriously behind schedule.
2. Implementation activities differed significantly from agreed work plan.
3. Funding to a value of Ush..... could not be properly accounted for.
4. An end-of-project evaluation has not been completed to the satisfaction of the NARO Secretariat.
5. An end-of-project financial report has not been verified by the contracted firm of accountants and accepted as satisfactory by the ZCARDF and NCARDF Secretariats, and
6. An end-of-project physical progress report has not been accepted as satisfactory by the NCARDF or ZCARDF Secretariat.

Annex 13: Format for Project Monitoring Form

PROJECT MONITORING REPORT

Project Title:

Project Number:

Name of service provider:

Date of visit:

Location of visit:

Monitoring Officer:

Main project persons contacted:

Section 1: Project Work Plan

Output	Key activity	Activities planned for QTR.....	Achievements	Gaps	Activities planned next QTR.....	Budget Last QTR...	Remarks

b) Observations on planned versus actual physical performance

Section 2: Project Cash Flow

Cash Flow	Period 1	Period 2	Period 3	Period 4
Disbursements				
Cumulative disbursements				
Expenditure				
Cumulative expenditure				
Expenditure acquitted by CGS				
Cumulative acquittals				

b) Observations on planned versus actual financial performance

Section 3: Corrective measures for observed problems

Section 4: Comments by Monitoring Officer

Section 5: Comments by Head of M&E at NARO Secretariat

Annex 14: Procedures and TOR for End-of-Project Evaluation

A: PROCEDURE

Steps	Service Provider	NARO	Evaluation consultant(s)
1		Provide standard evaluation TOR and standard evaluation contract to service provider	
2	Comment on TOR and contract terms		
3		Obtain CVs of 3 evaluators and select one	
4		Agree on final TOR, contract terms and selection of consultant	
5	Issue evaluation contract to evaluator		
6	Brief evaluator	Brief evaluator	
7			Conduct evaluation
8			Submit draft report (at least two copies)
9	Comment on draft report	Comment on draft report	
10	Accept or reject draft report. Provide comments to evaluator		
11	If report is accepted, pay 50% of fees		
12			Revise and submit final report (at least two copies)
13	Comment on final report	Comment on final report	
14	Accept or reject final report. Provide comments to evaluator		
	If report is accepted, pay balance of 50% of fees		
15	Submit evidence of payment of fees to NARO		
		Issue Completion Certificate	

B: TERMS OF REFERENCE

1. Objectives and scope of the evaluation

The objective of the evaluation is to review the performance of the research project funded by the CGS.

2. Issues to be studied

a) Project preparation and design

This should include a brief description and analysis of the planning and design phases of the project leading to the final proposal. The existence or otherwise of baseline data or other description of the research issue and socio-economic status of the target groups at the time of project preparation should be noted. Problems, needs, opportunities and constraints identified in the proposal should be examined. Comment should be made on the clarity of analysis and the realism about project objectives and work plans in the proposal.

b) Relevance

The evaluation will assess the relevance of the project objectives, methodology and activities with respect to:

1. The problems and opportunities facing the target groups
2. National agricultural research policy
3. The economic and social environment
4. Implementation capacity

c) Efficiency

The evaluation will assess the efficiency of use of NCARDF and ZCARDF resources. This concerns the relationship between inputs and activities on the one hand and outputs on the other. In particular, the following issues should be examined:

1. To what extent has the project complied with its original work plans? What outputs did the project achieve? What were the major deviations from plan; what were the causes and what effect did this have on implementation?
2. To what extent has the service provider complied with the provisions of the contract?
3. Were the project funds efficiently transformed into outputs? Could the same or similar results have been achieved at lower cost?
4. Was the methodology consistent with, and adequate for, the planned results?
5. Were the arrangements for reporting and monitoring progress adequate?

d) Effectiveness

The evaluation should examine the effectiveness of the project in achieving its purpose. Answers should be sought to the following questions:

1. What were the results of the project?
2. To what extent did the outputs contribute to the results?
3. Were there any unforeseen outcomes? If so, what were they? Did they have a positive or negative effect?
4. What are the reasons for differences between planned and achieved results?

e) Impact

The evaluation should attempt to measure the impact of the project on the target group. Interest should focus where possible on the effect on the household as a unit and on inter- and intra-household relationships. Particular attention should be paid to changes in the absolute and relative welfare of households and of the relative position of men and women within the household in terms of control over resources.

e) Sustainability

The evaluation should assess the extent to which the positive outcomes of the project can be maintained over time. The following issues should be examined:

1. Interest and participation in the project by the target group
2. Willingness to pay of the technology users
3. Natural resource management issues that might reduce sustainability
4. Social, economic and cultural risks that might jeopardise the sustainability of outcomes.

f) Dissemination of results

The evaluation should assess the provisions for disseminating the results of the research. Attention should be given to the following questions:

1. Were the communication needs of the target group assessed prior to or during the project?
2. Were appropriate dissemination materials produced during project implementation?
3. Were results disseminated broadly and fairly?

g) Cross-cutting themes

Notwithstanding the foregoing, the evaluation will address the following issues:

1. Gender – were the specific needs, constraints and possibilities of women taken into account in project design and implementation?
2. Natural resource management (NRM) – to what extent were NRM issues integrated into project design and execution?

3. Methodological Approach

Information should be gathered in a variety of ways. These include analysis of relevant project files and documents, interviews with project staff and interviews with farmers and other stakeholders.

The methodology for obtaining primary data may consist of a combination of approaches. These might include a brief questionnaire-type survey. These should be supported by the more consultative techniques commonly associated with participatory learning and action (PLA) and participatory rural appraisal (PRA).

4. Reporting

The consultants will provide a draft report and a final report. All reports are to be prepared in English and structured according to the terms of reference. Both reports should be submitted in three copies.

5. Plan of Work

The consultancy will comprise _____ days of fieldwork and _____ days for writing the draft report. The Service Provider and NAROSEC will be allowed two weeks to comment on the draft report. A maximum of one more week will then be allowed for the consultants to produce a final report.

6. Expertise required

The principal evaluator should have at least ten years experience in agricultural research, preferably with good knowledge of on-farm research methods. The range of skills in the evaluation team should be appropriate to the terms of reference but should usually include knowledge of PLA/PRA techniques and also, possibly, communication techniques.

Annex 15: National projects Indicative Timetable

Call for Expression of interest	Jan
Closing date for submission of expression of interest	Feb
Review of expressions of interest	Feb – Mar.
Call for proposals	Mar
Closing date for submission of proposals	May.
Review and ranking of proposals	May – Jun.
Council meeting	Jun 10
Approval letters sent	Jun.20
First instalment of funds sent	Jun 30

Annex 16: Zonal projects Indicative Timetable

Call for Expression of interest	July
Closing date for submission of expression of interest	Aug
Review of expressions of interest	Aug – Sept.
Call for proposals	Sept
Closing date for submission of proposals	Nov.
Review and ranking of proposals	Nov – Jan.
Council meeting	Jan 10
Approval letters sent	Jan.20
First instalment of funds sent	Jan 30