

STATUTORY INSTRUMENTS

2004 No. 96.

THE AGRICULTURAL RESEARCH (ESTABLISHMENT AND MANAGEMENT OF THE ZONAL COMPETITIVE AGRICULTURAL RESEARCH AND DEVELOPMENT FUND) REGULATION, 2004.

ARRANGEMENT OF REGULATIONS.

Regulation.

PART I—PRELIMINARY

1. Short title
2. Interpretation

PART II—ESTABLISHMENT AND MANAGEMENT OF THE FUND

3. Establishment and objects of the fund
4. Application of the Fund
5. Division into agro-ecological zones
6. Zonal competitive agricultural research and development committee
7. Functions of a committee
8. Secretariat of the Zonal Competitive Agricultural Research and Development Fund
9. Committee meetings
10. Decision of the committee
11. Remuneration of members
12. Power to co-opt
13. Disclosure of interest

Regulation.

14. Functions of the fund manager
15. Other officers and staff
16. Protection of members and staff from liability

PART III—MISCELLANEOUS

17. Funding duration
18. Calling of project proposal for funding
19. Proposal technical assessment committee
20. Financial year of the Fund
21. Estimates
22. Accounts
23. Audit
24. Annual reports
25. Annual meeting of stakeholders
26. Procedure for accessing the fund
27. The Public Procurement and Disposal of Public Assets Act, 2003 and regulations made under it to apply where no provision is made.

STATUTORY INSTRUMENTS.

2004 No. 96.

The Agricultural Research (Establishment and Management of the Zonal Competitive Agricultural Research and Development Fund) Regulation, 2004.

(Under section 36 of the National Agricultural Research Organisation Act, Cap 205).

IN EXERCISE of the powers conferred upon the Minister by section 36 of the National Agricultural Research Organisation Act and on the recommendation of the Board, these Regulations are made this 1st day of December, 2004.

PART I—PRELIMINARY.

1. Short title

These Regulations may be cited as the Agricultural Research (Establishment and Management of the Zonal Competitive Agricultural Research and Development Fund) Regulation, 2004.

2. Interpretation

In these Regulations, unless the context otherwise requires—

“Act” means the National Agricultural Research Organisation Act,;

“agricultural research” means the furtherance, accumulation and improvement of knowledge in the agricultural and related sciences through original and other investigations and methods of a scientific or indigenous nature into the production, treatment or handling of an agricultural product, including research required for a better understanding of the process involved in or the environment necessary for the production of an agricultural product with the advancement of agriculture as its object;

“agricultural research service provider” means any person whether in the public or private sector who conducts or manages agricultural research in accordance with the Act; and includes a public agricultural research institute, universities, tertiary institutions, farmers groups, civil society organisations, private sector organisations and any other entity as may be determined by the board;

“board” means the governing board of the National Agricultural Research Organisations;

“chairperson” means the chairperson of a Zonal Competitive Agricultural Research and Development Committee;

“committee” means a Zonal Competitive Agricultural Research and Development Committee established under regulation 5;

“Fund” means the Zonal Competitive Agricultural Research and Development Fund established by the board under regulation 3;

“Minister” means the Minister responsible for agriculture, animal industry and fisheries.

PART II—ESTABLISHMENT AND MANAGEMENT OF THE FUND.

3. Establishment and objects of the fund

(1) There is established a fund to be known as the Zonal Competitive Agricultural Research and Development Fund.

(2) The objects of the Fund are to—

- (a) strengthen the national agricultural research system (NARS) through a better involvement of different stakeholders focusing on zonal issues;
- (b) promote agricultural research partnerships and collaboration between national and international, private and public institutions to maximise complementarities among different institutions, and disciplines in the conduct and management of agricultural research;
- (c) make agricultural research more demand-driven by involving clients at the grassroots in setting priorities and financing, executing and evaluating agricultural research;
- (d) improve agricultural research quality and innovation by selecting projects based on rigorous technical review of scientific merit, sound work plans and expected results to ensure relevance to different agro-ecological zones;
- (e) increase total funding for agricultural research by mobilising funds from farmers, industry and other resources;
- (f) strengthen the contribution of universities in addressing agricultural problems of zonal importance by facilitating the participation of faculty members and post-graduate students in demand-driven agricultural research projects;
- (g) speed up the adoption of improved agricultural technologies by providing funding for scaling up of promising technologies in partnership with the private sector; and
- (h) support the introduction of modern technologies and innovative ideas into the zonal agricultural research system.

(3) The moneys of the Fund shall consist of—

- (a) moneys appropriated by Parliament;
- (b) donations and grants from development partners;

- (c) money given by the board from its budget; and
- (d) donations, gifts, grants and loans acceptable to the Minister and the Minister responsible for finance.

(4) The moneys of the Fund shall subject to section 40 of the Public Finance and Accountability Act, 2003 be deposited in a bank approved by the board and shall not be withdrawn except as authorised by the committee.

4. Application of the Fund

The moneys of the fund shall be applied for—

- (a) general provision of dependable and timely funds for zonal agricultural research priority setting in a specific agro-ecological zone;
- (b) helping to finance the provision of competitive grants for zonal agricultural research activities;
- (c) speed up the adoption of improved agricultural technologies by funding for scaling up of technologies in partnership with the private sector; and
- (d) support the introduction of modern technologies and innovative ideas into the zonal agricultural research system.

5. Division into agro-ecological zones

For the purpose of the operations of the Zonal Competitive Agricultural Research and Development Fund, Uganda shall be divided into six zones—

- (a) The North Western Region agro-ecological zone consisting of the districts of Arua, Moyo, Yumbe, Adjumani and Nebbi;
- (b) The Mid Northern Region agro-ecological zone consisting of the districts of Gulu, Kitgum, Pader, Lira and Apac;
- (c) The Eastern Region agro-ecological zone consisting of the districts of Moroto, Nakapiripirit, Kapchorwa, Katakwi, Sironko, Mbale, Soroti, Kumi, Tororo, Pallisa, Busia, Mayuge, Jinja, Kamuli, Iganga and Bugiri, Kotido and Kaberamaido;
- (d) The Central Region agro-ecological zone consisting of the districts of Mukono, Wakiso, Mpigi, Masaka, Kampala, Luwero, Mubende, Kiboga, Kalangala, Nakasongola and Kayunga;
- (e) The South Western Region agro-ecological zone consisting of the districts of Mbarara, Ntungamo, Bushenyi, Kanungu, Rukungiri, Kabale, Kasese, Kisoro, Ssembabule and Rakai;
- (f) The Mid Western Region agro-ecological zone consisting of the districts of Masindi, Hoima, Kibale, Bundibugyo, Kabarole, Kamwenge and Kyenjojo.

6. Zonal competitive agricultural research and development committee

(1) There is established a committee for each agro-ecological zone to be known as the Zonal Competitive Agricultural Research and Development Committee.

(2) The Committee for each agro-ecological zone shall consist of the following persons—

- (a) a representative of District Secretaries for production in the zone;
- (b) a representative of District Chief Administrative Officers in the zone;
- (c) a representative of District Directorates of Production in the zone;
- (d) a representative of District NAADS Coordinators in the zone;
- (e) four farmers' representatives nominated by the District Farmer's Fora and recognised farmers associations in a zone, at least two of whom shall be women);
- (f) one private sector or agro-industry sector or agro industry associations representative operating in the zone;
- (g) one NGO representative nominated by NGOs operating in the zone;
- (h) two agricultural research scientists who could be from within or outside the zone of whom one shall be a woman; and
- (i) zonal fund manager, *ex officio*.

(3) A member of the Zonal Competitive Agricultural Research and Development Committee other than a Fund Manager shall hold office for two years and is eligible for reappointment for one more term.

(4) The board shall in consultation with the relevant bodies appoint the members of a committee and shall, in appointing the members of the committee ensure that there is a balance of skills, experience and gender.

(5) Membership of the committee shall be on part time basis and members of the committee shall elect among their number a chairperson.

7. Functions of a committee

The function of a committee is to—

- (a) set zonal agricultural research priorities;
- (b) approve zonal agricultural research plans and programmes;
- (c) approve the specific agricultural research areas to be mentioned in the calls for proposals and to be given preference in funding;
- (d) mobilise and allocate resources from district sources;
- (e) ratify Competitive Grant Scheme accounts and annual report;
- (f) ensure implementation of zonal agricultural research plans and programmes;

- (g) follow up application of agricultural research results; and
- (h) monitor the effectiveness and integrity of the grant-making process.

8. Secretariat of the Zonal Competitive Agricultural Research and Development Fund

(1) There shall be a secretariat for the Zonal Competitive Agricultural Research and Development Fund in each agro-ecological zone which shall be responsible for the day to day operation of the fund in a particular zone.

(2) The secretariat shall be composed of a zonal fund manager and such other staff as a committee, with the approval of the board, determine to be necessary for the discharge of the functions of the Fund.

(3) The secretariat shall—

- (a) prepare and submit budgets, work plans and annual reports of the secretariat for committee approval;
- (b) on behalf of the committee, organise stakeholder meetings for purpose of setting or updating zonal research priorities;
- (c) identify, in consultation with stakeholders, priority research areas for committee approval;
- (d) disseminate information about the zonal competitive grant scheme and its Fund and publicise calls for proposals;
- (e) receive and register applications and acknowledge receipts to applicants;
- (f) carry out administrative and technical pre-screening of the proposals to ensure that prescribed format for Competitive Grant Scheme application and procedures are adhered to;
- (g) prepare and submit proposals for assessment by a technical committee;
- (h) prepare and submit proposals for peer review;
- (i) summarise assessors' report for selection of proposals;
- (j) communicate with applicants on the status of the processed proposals;
- (k) prepare and sign contracts of supported proposals;
- (l) disburse funds to grantees;
- (m) receive, record and review progress and final reports on funded projects;
- (n) monitor and evaluate projects in consultation with the recipient organisations;
- (o) approve minor modifications to approved projects and submit major modifications for technical committee consideration;

- (p) stop disbursements when warranted by failure to submit reports or adverse monitoring findings;
- (q) organise training in the preparation of proposals, and other aspects of the project cycle, as needed; and
- (r) liaise with stakeholders including potential new sources of funding; and
- (s) propose changes to operational manual as required for committee approval.

(4) A zonal fund manager shall be appointed by the board on the recommendation of a committee and his or her recruitment shall be on the basis of competitive selection.

9. Committee meetings

(1) The committee shall meet four times a year at such place as the chairperson may determine for the discharge of its business.

(2) The quorum for a meeting of a committee is five members.

(3) Notice of a committee meeting shall be given in writing to each member at least fourteen working days before the day of the meeting.

(4) The chairperson shall preside at every meeting of the committee and in the absence of the chairperson, the member present shall elect one of their number to preside at that meeting.

(5) The person presiding at a meeting of the committee shall have a casting vote in addition to his or her deliberative use.

(6) Subject to this regulation, a committee may regulate its own procedure or any other matter relating to its meeting.

10. Decision of the committee

(1) Every decision of the committee shall, as far as possible, be by consensus.

(2) Where on any matter consensus cannot be obtained, the matter shall be decided by a majority of votes of the members present and in case of an equality of votes, the person presiding shall have a casting vote in addition to his or her deliberate vote.

(3) A zonal fund manager shall cause to be recorded minutes of all proceedings of the committee.

(4) A zonal fund manager shall have custody of the minutes of the committee.

11. Remuneration of members

The members of a committee shall be paid such allowances as may be determined by the board.

12. Power to co-opt

(1) A committee may invite any person who, in the opinion of a committee, has expert knowledge concerning the functions of the committee, or who is likely to be of assistance to a committee to attend and take part in the proceedings of the committee.

(2) A person attending a meeting of a committee under this regulation may take part in any discussion at the meeting on which his or her advice is required, but shall not have any right to vote at that meeting.

13. Disclosure of interest

(1) If a person is present at a meeting of a committee at which a matter is the subject of consideration and in which that person or his or her nominee or spouse is interested in a private capacity he or she, as soon as practicable after the commencement of the meeting disclose that interest and shall not unless a committee direct otherwise, take part in any consideration or discussion or question relating to the matter.

(2) A disclosure of interest made under this regulation shall be recorded in the minutes of the meeting at which it is made.

14. Functions of the fund manager

(1) A zonal fund manager is responsible for the day-to-day operations and administration of the Fund.

(2) Without prejudice to the generality of subregulation (1), a fund manager is responsible for—

- (a) implementation of the policies and program of the Fund;
- (b) the organisation and control of the staff of the Fund;
- (c) identification and preparation of zonal competitive agricultural research activities;
- (d) preparation, monitoring and control of the Fund's operating budget;
- (e) participation in the selection and supervision of agricultural research service providers;
- (f) awareness and sensitisation activities associated with the zonal program;
- (g) preparation of progress reports to the committee;
- (h) acting as secretary to the committee; and
- (i) any other duties that may be assigned to him or her by the committee and the board.

(3) The zonal fund manager is in the performance of his or her functions, answerable to a committee.

(4) A fund manager shall cease to hold office if—

- (a) he or she resigns;
- (b) his or her contract expires;
- (c) has financial or proprietary interest in organisations that may be benefiting from the Fund for provision of agricultural research services;
- (d) he or she is removed from office by the board for—
 - (i) misconduct or misbehavior;
 - (ii) inability to discharge the functions of his or her office arising out of physical or mental disability;
 - (iii) incompetence.

15. Other officers and staff

(1) The board may appoint other officers and staff of the Fund as may be necessary for the effective performance of the functions of the Fund.

(2) The employees appointed under this section shall hold office on such terms and conditions as may be specified in their instruments of appointment.

16. Protection of members and staff from liability

(1) A member of a committee is not personally liable for an act done by him or her in good faith and without negligence for the purpose of carrying into effect the provisions of these Regulations.

(2) An employee of the Fund or other person acting on behalf of a committee is not personally liable for any act done by him or her in good faith and without negligence for the purposes of carrying into effect the provisions of these Regulations.

PART III—MISCELLANEOUS.

17. Funding duration

(1) The disbursement of funding of a particular agricultural research proposal from the Fund is for a period of three years except in an exceptional case where it can be extended for another two years.

(2) No project shall receive funding from the Fund for more than five years without prior evaluation and new successful submission of a new proposal to a committee.

(3) The board shall annually establish minimum and maximum funding for the zonal agricultural research competitive grant activities.

18. Calling of project proposal for funding

A committee shall twice a year publish calling for project proposals for funding from the Fund by publishing in at least one publication of wide circulation to ensure competition.

19. Proposal technical assessment committee

(1) There shall be a sub-committee appointed by the committee known as the technical committee.

(2) The technical committee shall carry out technical assessment of agricultural research proposal.

(3) The technical committee consist of the following—

(a) one agricultural scientists nominated by the management committee of a zonal agricultural research institute located in the agro-ecological zone;

(b) an eminent agricultural scientist not associated to any of the public agricultural research institutes or universities;

(c) one person of integrity and who has experience of and proven capacity in agricultural extension service, business or administration;

(d) two other persons of integrity and who has experience of and proven capacity in agriculture, farming, agro-business or development; and

(e) a zonal fund manager who shall act as secretary to the technical committee.

(4) A member of the technical committee other than a fund manager shall hold office for three years and is eligible for re-appointment for one more term.

(5) Members of the technical committee shall elect a chairperson from among their numbers.

(6) The technical committee shall meet twice a year at such place as the chairperson may determine for the discharge or its business.

(7) The quorum for a meeting of the technical committee is three members.

(8) Subject to the regulation, the technical committee may regulate its own procedure or any other matter relating to its meeting.

20. Financial year of the Fund

The financial year of the Fund shall be the twelve months beginning on 1st July of each year and ending on 30th June in the following calendar year.

21. Estimates

(1) A fund manager shall, not later than three months before the end of each financial year, prepare and submit to a committee for its approval and recommendation to the board, estimates of income and expenditure for the next

ensuing financial year, and may at any time, before the end of the financial year prepare and submit to a committee, any estimates supplementary to the estimates of the current financial year.

(2) No expenditure shall be made out of moneys of the Fund unless that expenditure is part of the expenditure approved by the board under subsection (1).

22. Accounts

(1) The zonal fund manager shall keep proper books of accounts of all the income and expenditure of the Fund and proper records in relation to them in a form approved by the Auditor General.

(2) Subject to any directions given by the board, a committee shall cause to be prepared in respect of each financial year, a statement which shall comprise-

- (a) a balance sheet and a statement of income and expenditure of the Fund in respect of that financial year; and
- (b) any other information in respect of the financial affairs of the Fund as the board may require.

23. Audit

(1) The accounts of the Fund shall, in respect of each financial year, be audited by the Auditor-General or by an auditor appointed by the Auditor General.

(2) The donors may appoint an auditor of their choice to audit the books of the Fund.

(3) The board shall ensure that within three months after the end of each financial year, the statement of accounts described in regulation 22 is submitted for auditing.

(4) The Auditor-General or an auditor appointed by the Auditor General shall have access to all books of accounts, vouchers and other financial records of the Fund and is entitled to have any information and explanation required by him or her in relation to them as he or she may think fit.

(5) The Auditor-General shall, within three months after receipt of the statement of accounts under subregulation (3), audit the accounts and deliver to the committee a copy of the audited accounts together with his or her report on them, stating any matter which, in his or her opinion, should be brought to the attention of the board.

24. Annual reports

(1) A committee shall within three months after the end of each financial year, submit to the board the annual status report and the audited accounts referred to in regulation 23(5) together with the Auditor General's report on them.

(2) The board through the Minister shall, as soon as possible after receiving the reports referred to in subregulation (1) submit the reports to the Parliament.

25. Annual meeting of stakeholders

(1) The board shall before the end of each financial year, convene a meeting to be attended by—

- (a) members of the Committee;
- (b) the Fund Managers;
- (c) District Chairpersons;
- (d) two representatives of agricultural research service providers from each zone;
- (e) two representatives of the private sector from each zone;
- (f) two representatives of the civil society from each zone; and
- (g) two representatives of the farmers from each zone.

(2) The purpose of the meeting shall be for the—

- (a) presentation by the committees of the annual status report and discussion of conclusions, observations and recommendations relating to the reports;
- (b) presentation by the committees of their preliminary reports concerning the financial status of the Fund; and
- (c) determination of zonal agricultural research priorities which addresses the farmer's and other stakeholders demands, needs and opportunities.

26. Procedure for accessing the fund

The Fund shall be managed in accordance with the guidelines set out in the Schedule to this Regulations.

27. The Public Procurement and Disposal of Public Assets Act, 2003 and regulations made under it to apply where no provision is made.

In respect of any matter, where these Regulations have not expressly or by necessary implication made provision for, the Public Procurement and Disposal of Public Assets Act, 2003 or any regulation made under it shall apply to any such matter.

GUIDELINES.

1. FORMULATION AND SUBMISSION OF PROPOSALS

1. Calls for research proposals

(1) The Fund Secretariat shall advertise calls for research proposals in Uganda's newspapers twice each year (i.e. January and July), copies of the call for proposals will be circulated widely, including to PARIs, Universities, selected Non-Governmental Organisations, private research entities, Industrial organisations, Farmer or Commodity associations, and the District Production Departments and NAADS Coordination offices.

(2) (a) The call for proposals shall also be posted on the Board website.

(b) Appendix 1 provides an indicative announcement for the call for proposals.

(3) The Fund Secretariat should receive research proposal submissions in response to the January and July calls by 30th March and 30th September, respectively, and only submissions received or postmarked by the deadlines are accepted.

(4) (a) Applicants will be informed of decisions by 30th June and 31st December of the same year for January and July invitations, respectively.

(b) For January invitation, grants will be available from July 1st of the same year, while grants for July invitations will be available from January 1st of the following year.

2. Eligibility

The applicant shall be—

(1) (a) resident in Uganda and where the applicant is non-residential of Uganda at least the principal investigator should be resident in Uganda;

(b) a person qualified to undertake the proposed agricultural research and development activity.

(2) (a) For agricultural research, the applicant should demonstrate capacity to conduct agricultural research and deliver the stated results in the proposal, and post-graduate students, should be closely supervised by an adequately qualified scientist.

(b) in the case of development activities, indication of competence should be provided by the applicant.

(3) The applicant shall be registered with the board as an agricultural research service provider.

3. Relevance

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

(a) priority research areas for funding provided by the competitive grant scheme;

(b) a competitive grant scheme call for proposals on the topic in question; or in rare cases;

(c) ex-ante impact assessments that score high economic returns to clients in the zone.

4. Proposal format

(a) Applicants must read the relevant portions of the Zonal Competitive and Agricultural Research and Development Manual and, if needed, are advised to seek clarification from the Fund Secretariat.

(b) Research proposals should be formulated and submitted according to the CGS format provided in Appendix 2a.

(c) Specific Guidelines to assist proposal writers are given in Appendix 2b.

(d) Applications shall be prepared in english and typed.

(e) The quality of the document must be good enough to enable the Fund Secretariat to make copies.

(f) An electronic copy of the proposal shall also be required.

(g) All research proposals will be recorded, filed, and treated as confidential documents by the Fund Secretariat.

5. Institutional endorsement

(a) The appropriate senior administrators must endorse submissions by postgraduate students and staff members of research institutions.

(b) The endorsement must indicate that resources (other than those requested from the CGS) are available to support the proposed research and that the proposed activities are in accordance with the institution's policy and priorities.

(c) In the case of collaborative agreements or large proposals with several sub-projects, several endorsements may be needed.

6. Pre-proposals

(a) Before embarking on writing a full research proposal, applicants shall submit two- to five-page pre-proposals or expressions of interest.

(b) A small working group operating under the Secretariat shall review the pre-proposals and advise applicants on their prospects for receiving funding as well as on some of the main points applicants should consider when developing their pre-proposals into full proposals.

(c) The format for pre-proposals is not prescribed and the feedback received from Secretariat working group is not binding.

(d) Except under exceptional circumstances, no funding will be provided for the purpose of developing proposals.

(e) Pre-proposals are encouraged and reviewed as a service to prospective applicants, with intent of improving proposals and reducing waste associated with the development of proposals that are unlikely to be funded by the scheme.

(f) The deadline for the pre-proposals shall be two months prior to the deadline of the full proposals.

- (g) The Secretariat working group shall send its non-binding feedback to prospective applicants within ten working days following receipt of the pre-proposals.

7. Pre-screening

(a) The Fund Secretariat will screen all research proposals received for compliance with the prescribed procedures.

(b) The purpose of this administrative pre-screening is to eliminate from further consideration proposals that:

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

(c) The Secretariat shall perform administrative pre-screening within five working days after the due date.

(d) The decisions by the Secretariat during administrative pre-screening shall be reported to and reviewed by the proposal assessment technical committee, which may, if needed, reconsider these decisions and advise the secretariat on how to proceed in the future.

8. Independent technical assessment

(a) Proposals that pass pre-screening shall be sent to all members of the technical committee and at least two peer reviewers who are specialists in the subject area of the proposal.

(b) The guidelines for assessors are given in Appendix 3a, the criteria and the weights to be used in rating proposals of various types are tabulated in Appendix 3b, and the form to be used for the assessment is attached as Appendix 3c.

(c) The Fund Secretariat shall make reasonable efforts (including seeking replacement assessors when needed) to secure two independent assessments, but if this fails, technical committee shall make selections based solely on the members' assessments.

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

9. Selection of proposals

(a) The Secretariat will select research proposals and approve grants for their implementation, taking into consideration assessment reports or comments from the technical committee members and peer reviewers, as well as specific priorities mentioned in the call for proposals and general priorities approved by the committee.

(b) To assist the decision-making process of the peer reviewer on the proposals, the Secretariat will compile technical committee members' and assessors' ratings of proposals and compute rankings.

- (c) The technical committee has the right to reject highly rated proposals, which have appropriate methods but little relevance; or projects with relevant objectives but scientifically inappropriate design.
- (d) In most cases, the technical committee shall accept proposals, reject them entirely, or request applicants to revise their proposals for re-submission during the next funding cycle.
- (e) The technical committee shall not cut budgets and rewrite proposals to fit the reduced resources.
- (f) Good projects with inflated budgets shall be rejected and applicants notified of the reasons.
- (g) Acceptance with a budget cut shall be used only rarely, typically in a situation where the proposed research has several components and the proposal specifically indicates that some of the components can be completed irrespective of whether the others are funded or not.
- (h) The technical committee shall justify and document its decisions, especially those that significantly differ from the rankings based on ratings.
- (j) The Secretariat shall inform applicants of the outcome of the selection process and, if so requested by applicants, explain the justifications used.
- (k) The chairperson of the technical committee shall present the proposal assessment report to the committee for approval.

10. Award and grant conditions

- (a) After decisions of the technical committee and approval by the committee, the Secretariat shall initiate contract procedure for proposals selected for support.
- (b) On signature by all parties, a formal agreement is entered into by the parties, namely the zonal fund manager (on behalf of the board), the principal investigator, and, if applicable, the institution. A copy of the contract form is available in Annex 4.

11. Cost coverage

(a) Applicants are advised to take great care in developing their budget as any unnecessary expenditure, particularly for travel and per diem, will greatly impede the possibility of selection.

(b) Applicants shall take note of the following—

- (i) the scheme covers only direct research costs and professional fees for researchers, and does not support salaries or allowances, except in the cases listed below.
- (ii) an overhead allowance of 8% and upto 15% of the total budget is payable to the grantee's institution, department or organisation.
- (iii) stipends to support post-graduate students are permissible and no allowances can be paid for those who receive the stipends.
- (iv) faculty members who co-ordinate major research projects and involve post-graduate students can be paid per diem allowances for supervision.

(v) well justified travel costs, including costs of overseas travel, are tenable under the scheme.

12. Financial responsibilities and procedures

(a) The administration and management of grants shall follow procedures of the submitting institution.

(b) Authorised officers within the institution will authorise payments.

(c) The institutions will use their normal regulations and procedures for determining payments for travel, supplies, etc. except as they may not conflict with this regulations and procedures, in which case this regulation procedures will apply.

(d) Within the PARIs, the administration and management of grants received by PARI scientists will follow established procedures of the PARI using its accounting documents, although funds from CGS will be kept discrete from the other PARI accounts.

(e) The Director of the PARI will authorise payments, on acceptance of progress and annual reports.

(f) For self-employed investigators not affiliated with the universities, research institutions, credible NGOs and private companies, the grant funds will be managed by the Fund Secretariat, which will be the institution of reference.

(g) Financial reporting shall be part of the reporting requirements and will follow the guidelines and format provided in the Appendix 5.

(h) The Finance Officer of the institution shall sign the expenditure reports, along with the principal investigator.

(i) The Fund Secretariat will receive all financial documents from the institutions and individuals, check them for accuracy, and process payments.

13. Disbursement and accounting for funds

(a) Upon receipt of the completed research grant forms from the grantee, the Fund Manager shall authorise the release of 70% of the approved first year's budget for the implementation of the project.

(b) Grant disbursements will be made to the Head of the submitting institution, who will in turn release funds to the principal investigator for project implementation as and when necessary.

(c) 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.

(d) After the initial advance, disbursements will be released only on acceptance of reports.

(e) Failure to provide a satisfactory account of expenditure may result in the immediate suspension or termination of CGS funding and the refund to the fund of any funds which, in the opinion of committee, have not been satisfactorily accounted for.

- (f) The Fund Secretariat and other audit teams reserve the right at any time to inspect the financial details relating to CGS funded projects.
- (g) Any equipment or material purchased from the fund shall become the property of the institution or department at the end of the project.
- (h) In the case of development projects, the fund shall have a joint ownership with the grantee of any equipment or materials commercialised.
- (i) On completion of the project, any unspent balance from fund grant must be refunded to fund.

14. Progress and final reports

- (a) The principal investigator shall submit to the Fund Secretariat, progress report every three months from the date of commencement of the project.
 - (b) Upon completion of the project, a financial statement, two bound copies and an electronic copy of the final report shall be submitted to the Fund Secretariat.
 - (c) This report should cover the life of the project and stress achievements, results and likely impact.
 - (d) A list of publications should be appended.
 - (e) Post-graduate students should submit a copy of their thesis.
 - (f) All reports will be examined for completeness and 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.
 - (g) Financial expenditures will be scrutinised against the budget and projected expenditure plan and where necessary, the principal investigator or the Head of submitting institution may be asked to clarify, make additions and corrections.
 - (h) All reports should be prepared according to the format for presentation given in Appendix 6.
 - (i) Copies of all progress and final reports should be given to the Head of submitting institution or department.

15. Sanctions

- (a) Progress reports are due 15 days after the end of each three-month period and if the progress report is not received within two weeks after the due date, the principal investigator or the head of submitting institution will be notified to suspend disbursement of funds until the report is received.
 - (b) The Fund Secretariat will not approve further disbursement of grant funds until the situation is satisfactorily remedied.

16. Force majeure

- (a) 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.

(b) From the date of that notification, the committee may at its discretion either terminate the contract immediately, or suspend the performance of the contract for a period not exceeding six months.

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

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

17. Monitoring and evaluation.

(a) Routine monitoring of research projects will be done by the Secretariat based on progress reports submitted by the principal investigator of the research projects and the Secretariat shall also undertake spot-checks to ensure accountability.

(b) In addition, substantive monitoring and evaluation visits by scientists or experts knowledgeable in the field of study of the project shall be undertaken periodically.

(c) During such visits, the following will be reviewed—

- * Progress in the implementation of projects;
- * Changes that can be made for those projects that appear to be in trouble;
- * Whether the reports reflect reality and to gain information to pass on to others as to how to conduct a successful project.

(d) Experts appointed by the committee shall review all progress and final reports.

18. Fund indicative timetable.

The indicative timetable of the fund is provided in Appendix 7.

19. Publication and Dissemination.

(a) The committee encourages grantees to publish their results in scientific journals and extension materials.

(b) Publications in peer-reviewed international journals and advisory services support information provide important support for researchers seeking new funding from the fund.

(c) Such publications should be submitted as part of a progress or final report where possible.

(d) Financial contribution from fund be acknowledged in publications based on research supported by CGS as follows:- This research was supported (in part) by (name of the zone) Competitive Agricultural Research.