



NATIONAL COMPETITIVE AGRICULTURAL RESEARCH AND DEVELOPMENT FUND

**Organisation, Procedures
and
Guidelines for Proposals**

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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 a National Competitive Grant Scheme (CGS) through the National Competitive Agricultural Research and Development Fund (NCARDF) will be established and operated. It provides procedures and guidelines for implementation of the scheme. These guidelines are a ‘work in progress’ that is not sealed in concrete and will continue to be updated initially through annual review 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.

2.2 *The National Agricultural Research Policy, 2003*

Although the Government of Uganda and others have made significant investments in the generation and transfer of improved agricultural technologies, and although considerable achievements of the national agricultural research system have greatly contributed to Uganda’s development, the NARS is 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.

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 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.

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

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

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

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

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

The **vision** for the agricultural research system is:

“A market-responsive, client-oriented and demand-driven national agricultural research system comprising public and private institutions working in tandem for the sustainable economic growth of Uganda”.

In order to achieve the vision, the **mission** for agricultural research is:

“To generate and disseminate appropriate, safe and cost-effective technologies, while enhancing the natural resource base”.

The key principles of the research policy are:

- Responding to market opportunities;
- Empowerment of stakeholders;
- Maintaining scientific integrity and professional excellence;
- Decentralisation of agricultural research services;
- Promoting the participation of the private sector, civil society and farmers;
- Separating public funding from the delivery of research services;
- Mainstreaming gender issues and concerns;
- Mainstreaming social, human and environmental concerns; and
- Quality assurance of agricultural research services.

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

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

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 National Competitive Agricultural Research and Development Fund (NCARDF) is operated at a national level and provides competitive grants for contracts to address national agricultural research priorities. 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 and international, private and public institutions to maximise complementarities among different institutions, disciplines or countries in the conduct and management of agricultural research;
- iii) Make research more demand-driven by involving clients in setting priorities and managing the fund, executing research and evaluating outputs;
- iv) Improve research quality and innovation by selecting projects based on rigorous technical review, sound work plans and expected results. ;
- v) 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. ;
- vi) Increase total funding for research by mobilising funds from farmers, industry and other resources.
- vii) 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 *National Priorities as the Basis for the CGS*

There shall be national agricultural research priorities determined through a process of aggregation, synthesis and analysis of the research needs emerging from stakeholder-led structures established to identify farmers' and other stakeholder demands, needs and opportunities. Many times priority setting exercises for agricultural research tend to ignore areas of natural resources management such as land and forest issues

because the grass-root communities do not usually articulate their demands in these areas as well as they do for crops and livestock production. The priority setting process will ensure that stakeholders are well sensitised to cover all aspects of their farming systems including natural resource management to ensure that these vital areas are not left out. Through defined processes, the priorities shall regularly be refined and converted into expressions of interest and tender notices or strategic objectives as a basis for developing and supporting creative, innovative and collaborative research proposals.

3.3 *Structure and Management of the Fund*

The National Agricultural Research Organisation Council (NAROC) is the apex body for agricultural research in Uganda. The Council is responsible for managing the Agricultural Research Trust Fund that provides the finance for the NCARDF. The 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 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.

Before grants are finally awarded, the Scientific Committee of the NAROC shall review all proposals for scientific merit and the Users' Committee shall on the other hand assess proposals in addressing the concerns of beneficiaries and the extent of indication of participatory processes involved. These functions may alternatively be contracted out.

3.4 *Research Projects and Grants*

3.4.1 *Project Proposals Preparation*

All research projects submitted to the Council 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 and must be prepared in accordance with the Proposal Presentation Guide. Proposals bids will be considered for funding under the NCARDF at only one time per year. 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 Secretariat and approved by the Board. 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

Secretariat 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 the NCARDF may 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 for some form of seminar or 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 two months 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 the NCARDF. All projects must meet basic **eligibility** criteria to be considered for funding. The Secretariat 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 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.

3.4.2 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 grants 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 under the NCARDF. All proposals shall be pre-screened against these minimum requirements for technical conformity before being submitted for further consideration.

a) Consistency with the national 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 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 the country. 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 Board.

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.

3.4.3 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 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:

- qualifications of the lead scientist and the other participating groups;
- background and scientific/technical performance of the team members in the past;
- ability of the team to achieve the proposed results;
- lead institution's capacity to capably manage the team; and,

- 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:

- established research hypothesis that addresses an important constraint or issue of relevance to the country;
- 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;
- 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;
- quality of scientific or technical design of the proposal, based on clear objectives, specified activities, internal logic;
- 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).
- 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 PMA 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 the Council may provide provisional project approval pending the outcome of the required impact assessment. The Council 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 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 environmental issues and that foster the development of technologies that are sustainable from an environmental standpoint.

(c) *Social and Institutional Impact*

Social Considerations: The social assessment considers the project's likely effects on poverty (employment, income) and contribution to the economic and social well being of the target audience. Projects need to contribute to economic development objectives and help the target audience participate more effectively in the market economy. The project should foster broad participation with particular attention to gender focus and responsiveness. The social assessment also analyses whether the project is likely to have potential negative impacts on the community or other non-target groups. The social impact assessment requires information and analysis of:

- direct and indirect beneficiaries of the project including benefits to poor farmers and gender;
- likelihood of achieving the objectives of the proposed activity and impact of the project within a reasonable time frame;
- potential for the adoption of the generated technologies and opportunities for spillover to other eco-regions;
- the ability of the technology to stimulate target group participation in market oriented agriculture; and,
- expected indirect effects of technologies, such as those caused by spillovers of research results;

(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:

- 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).

- 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.
- agreement and consensus built by stakeholders themselves on these principles of participation based on comparative advantage.
- 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 the national level. Projects funded 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. 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.

(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.

3.4.4 Review Process

Projects are selected based on comprehensive review by the Council Committees 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. All projects will pass through an initial screening by the 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 unit of the Secretariat. After peer review the Secretariat 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 Secretariat is 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 Secretariat will then consolidate the scores and comments of the reviewers and present them to the Scientific and Users committee for final scrutiny before submitting them to the Council for final decisions on funding based on the scores and funds availability.

3.4.5 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. In most cases grants under the national competitive grant scheme will not exceed \$150,000 (one hundred fifty thousand dollars) over a three-year period.

Once the Council has approved project proposals, the Secretariat will issue a Letter of Notification to proposers. The Letter of Notification also provides an opportunity to request from the proposers 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 Secretariat 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 budget. In order not to risk rejection, budgets should be realistic, particularly for travel, training, per diem and required equipment and transport. Applicants should take note of the following:

- The scheme covers professional fees and other direct research costs, and does not support salaries or allowances, except in the cases listed below.
- A maximum overhead allowance of 8% for field based research and 15% for laboratory based research of the total budget is payable to the grantee's institution/department/organisation.
- Stipends to support post-graduate students are permissible; no allowances can be paid for those who receive the stipends.
- Faculty members who co-ordinate major research projects and engage post-graduate students in them, can be paid per diem allowances for supervision.
- Well justified travel costs, including costs of overseas travel, are tenable under the scheme.

In general, funds from the grants are intended to cover additional costs in the following line items if well justified:

- The costs of short-term personnel dedicated to work on the project;
- Travel costs and per diem;
- Project inputs including specialized equipment not exceeding US\$5,000 ;
- Required computer and/or telecommunications equipment;
- Data collection costs;

- Statistical analysis;
- Local transportation;
- Training, meeting and seminar costs;
- Dissemination of research results generated by the project through workshop proceeding, scientific publications, technical notes, demonstrations, multiplication of foundation technologies, etc.
- All other costs not related to core costs and directly related to the implementation of the project.
- The purchase/soliciting of services from other research service providers.

Except under exceptional circumstances, funds from the NCARDF will not be used to support funding for core or permanent salary costs or for large capital items, such as vehicles. The Fund also will not finance investment in construction of buildings or research facilities.

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 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 NAROC, 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 NAROC 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 will develop a schedule with each grant recipient to ensure proper funding accounting and reporting and timely disbursement of funds during the implementation phase.

During the implementation phase of the project the Council will disburse 90% of the total amount approved for the project with an initial payment not exceeding 40% of this total amount, holding 10% of the funds in abeyance. The remaining 50% will be disbursed based on progress. The final 10% of the funds will be disbursed once the executing agency submits and the Council approves the final project report.

The general guidelines for disbursement of funds are as follows:

- i) Upon receipt of the completed research grant forms from the grantee, the Director General will authorise the release of 70% of the approved first year's budget (provided it does not exceed 40% of the total budget) for the

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

- ii) The principal investigator shall submit a statement of actual expenditures for each three-month period, together with a funding request for the next period, according to the project work plan and budget.
- iii) After the initial advance, disbursements will be released only on acceptance of reports. Failure to provide a satisfactory account of expenditure may result in the immediate suspension or termination of CGS funding and the refund to the NCARDF of any funds which, in the opinion of the Council have not been satisfactorily accounted for.
- iv) The NAROC Secretariat and other audit teams appointed by the Council reserve the right at any time to inspect the financial details relating to CGS funded projects.
- v) Any equipment/material purchased from the CGS grant shall remain the property of the Council at the end of the project until the council decides otherwise.
- vi) The NARC shall have a joint intellectual property ownership with the grantee in case of any equipment/ materials commercialised out of the competitive grant.
- vii) On completion of the project, any unspent balance from CGS grant must be refunded to NCARDF.

5. REPORTING

5.1 *Progress and Final Reports*

The executing agency must present quarterly progress reports (Annex 9) to the Council 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 Council 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 principal investigator/Head of 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 15 days after the end of each three-month period. If the progress report is not received within two weeks after the due date, the principal investigator/Head of submitting institution will be notified to suspend disbursement of funds until the report is received. The NAROC 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 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 NAROC Secretariat. Such an account should take into consideration the amount claimed, all fees and costs properly incurred or committed by the principal investigator/submitting institution in relation to the contract, which cannot be recovered, and any outstanding advances made.
- iv) If payments are within the financial limit, and not subject to dispute, the CGS will pay all sums due and outstanding under the terms of the contract up to the date of termination.

6. **MONITORING AND EVALUATION**

The NARO Council needs to determine the effectiveness of its project financing through project evaluation and will undertake routine monitoring and external evaluations of all projects, either through its own Secretariat or through outsourced services. These periodic evaluations will provide the Council with a means to check on those results reported by grant recipients and serve as a mechanism to collect independent information and results verification. The format for project monitoring form is given in Annex 13. The Council will also evaluate the results of the funded research projects at the end of the project execution period. The Council will accomplish this primarily based on the final report, which will indicate the degree to which the objectives have been met, and an end-of-project evaluation (Annex 14).

The NARO Secretariat will maintain a database with the evaluation results of all projects financed under the NCARDF. 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.

8. PUBLICATION AND DISSEMINATION

The Council 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 National Competitive Grant Scheme of Uganda”.

9. FUNDING SOURCES AND POLICIES

Funding of the NCARDF 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 NCARDF 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 NCARDF 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 NCARDF provides attractive means by which 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 the NCARDF 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 the NCARDF; and
- iii) timely disbursement of funds by the NCARDF for implementation of projects and hence timely completion of projects and application of research results.

It is the long-term objective to establish an Agricultural Research Trust Fund 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.

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 the National Competitive Agricultural Research and Development Fund (NCARDF) 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 Council,
Physical Address

Postal Address

Telephone

Fax

E-mail

Deadline for receipt of Expressions of Interest:

**Director General
National Agricultural Research Council.**

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 researcher.

Name of body that will be legally responsible for transactions with NARC 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)

Attachments:

- 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: Appraisal Form for Expressions of Interest

Title of research project:.....

Reference No.Name of proposer:.....

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		
Technical appraisal			Score	
			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	Methodology (1)	Good scientific research practice	6	15
		Availability of required tools beyond the proposal	4	
		Ability to apply the method & interpret results	5	
3	Methodology (2)	Consideration of socio-economic issues	4	12
		Communications strategy	5	
		Applicability of results	3	
4	Methodology (3)	Poverty focus	4	12
		Gender mainstreaming	4	
		Sustainability of natural resource base	4	
5	Capability of the research team	Academic qualifications at appropriate levels	6	20
		Appropriate experience on similar work in the past	8	
		Appropriate mix of disciplines	6	
TOTAL			75	

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 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 NAROC 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 NAROC)

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 NAROC.

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 sh/km) ³							

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

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

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

⁴ do not use a percentage, specify the amount

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)	
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 study leader

Date:

Annex 5: Format for Bid Notice

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

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 Council, 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 NAROC Secretariat Office at (physical address), P.O. Box Kampala not later than 15.00 hours Uganda local time on(date)

Yours faithfully

[Name]

Director General

Enc: Bid dossier

c.c. [All those to be notified – e.g. Board 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 15.00 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 Council 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 Council as represented by the Director General. The supervisory duties shall be undertaken by the NAROC 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: FORMAT OF CONTRACT

NATIONAL AGRICULTURAL RESEARCH COUNCIL

RESEARCH SERVICES CONTRACT NO.

Title:

Contractor: Name.....
Physical Address
Postal Address
Telephone
Fax
E-mail

Amount of Contract: (Uganda Shillings)_____

Date of Notification of Contract:

N.B. The title and contract number must be quoted in all correspondence and on all payment documents.

AGRICULTURAL RESEARCH SERVICES CONTRACT

Financed by the National Competitive Agricultural Research and Development Fund of the National Agricultural Research Organisation Council of Uganda.

BETWEEN: The National Agricultural Research Organisation Council of Uganda represented by the Director General hereinafter called "the Contracting Authority".

ON THE FIRST PART

AND: _____ hereinafter called "the Contractor".

ON THE SECOND PART

IT IS HEREBY AGREED AS FOLLOWS:-

Preamble

The National Agricultural Research Council has agreed to finance the provision of agricultural research services under this contract. A description of the work to be carried out by the Contractor pursuant to this contract is given in the Appendixes hereto, and in particular, the terms of reference set out in Appendix A and in this contract.

1. The language of the contract and all related communications shall be English.
2. The Contractor will provide research services to the Contracting Authority for the successful implementation of the assignment as described in Appendix A (Terms of Reference).
3. The contractor shall, on his own initiative or at the Contracting Authority's request, provide the Contracting Authority with all information and explanations concerning the performance of the contract or relating directly to it. This information shall be given either in the reports provided for in the contract or in an appropriate manner in the case of any important fact or decision that, in the opinion of the contractor, should be brought immediately to the attention of the Contracting Authority.
4. The Contractor's liability shall be confined to the contract price.
5. The contractor shall be required to take out any insurance required by law.
6. The contractor shall perform this contract with the personnel referred to in his bid (see Appendixes C and D). Acceptance of the bid by the Contracting Authority shall constitute acceptance of the personnel proposed. The Contracting Authority reserves the right to request, with justification given, the Contractor to replace the technical assistance personnel in such a manner that the contractual tasks will continue to be executed without major interruption. Any change of staff by the Contractor during the contractual period will need the prior approval of the Contracting Authority. If the Contractor changes the composition of the personnel for reasons other than those agreed, he shall be considered to be in breach of contract.
7. The personnel supplied by the contractor shall start work within 30 days of notification of this contract by the Contracting Authority.
8. The contract shall enter into force on the date of its notification. Performance of the contract shall start on the date of arrival on site of the personnel provided by the

Contractor, which should be not later than 30 days from the date of notification of the contract. The period of performance of the contract is hereby set at --- months commencing on the date of contract notification.

9. Reports will be provided as detailed in the Terms of Reference. In summary, there will be:

- (a) a quarterly report;
- (b) an annual report,
- (c) a final report.

The Contracting Authority will approve the reports within four weeks of their presentation. If no response is made to the reports within this period it is assumed that the reports are approved.

10. All intellectual rights and rights of patent in discoveries, inventions and improvements shall belong to NAROC.

11. Currency of Payment shall be Uganda shillings. Payments shall be made to the account details of which shall be notified to the Contracting Authority following the award of contract.

12. The Contractor shall be entitled to an advance payment of 70 percent of the annual budget of the first year of the contract or 40 percent of the total contract sum whichever is the lower. Reimbursable expenses will be reimbursed upon production of relevant, original, supporting documentation.

Notification and Addresses

The addresses for notifications relating to the performance of the contract are:

The Contracting Authority - The Director General
National Agricultural Research Organisation
Physical Address
Postal Address
Telephone
Fax
E-mail

The Contractor - Name
Physical Address
Postal Address
Telephone
Fax
E-mail

SIGNATURES

The Contractor

The Contracting Authority
Director General,
National Agricultural Research
Council

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.

Budget limit

The maximum available budget should be indicated.

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 (15%)	
13	Evaluation (5%)	
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.)				
2.4. Other	itemise			
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 spelled 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 PMA 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.			
8.			
9.			

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 an institutional administrative overhead (15% of budget for institutional based projects and 8% for field based projects), end-of-project evaluation (5% of budget) and for Contingencies (5% of budget).

Annex 7: Appraisal Form for Proposals

Name of Appraiser:.....

Title of research project:

Reference No.

Name of proposer:

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		
General			Score	
			Max	Actual
5	Interpretation of terms of reference	Demonstration that proposers understand the issues and that methodology and team will address the research opportunity in a relevant way.	8	
6	Monitoring indicators	Monitoring indicators identified in terms of quantity, quality and time	7	
<i>Sub-total General</i>			<i>15</i>	
Technical appraisal				
7	Scientific merit and quality	Based on good scientific research practice	10	
8	Appropriateness of the research methodology	Methodology should be suitable in terms of its sophistication relative to the task	8	
9	Likely achievement of objectives within the time frame and budget indicated	Proposals should not be unrealistically ambitious in terms of targets set	4	
10	Availability and suitability of the necessary research facilities	Facilities need to be appropriate for the research to be carried out. Where facilities have to be hired, written confirmation of their availability is required.	4	

11	Proposed approaches to hazardous procedures and ethical considerations	Methods and results should minimise any harmful bi-products and/or deleterious effects on the environment	4	
<i>Sub-total Technical Appraisal</i>			30	

Social and Institutional Appraisal			Score	
			Max	Actual
12	Poverty focus	Research should be undertaken for the principal benefit of poor farmers	5	
13	Deepening decentralisation	Research should be conducted in conjunction with farmers organisations at decentralised levels of administration	5	
14	Targeting market opportunities	Proposal should show the link to market opportunities for the improved product	5	
15	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	
16	Quality and diversity of participation	Participatory processes followed, multi-disciplinarity, diversity and complementarity of roles, evidence of agreements and consensus, etc.	3	
17	Sustainable natural resource management	Research should not result in any long term reduction in the productive potential of natural resources	3	
18	Capacity development of research institutions	Proposal should include provision for young professionals to gain research experience	3	
<i>Sub-total Social and Institutional Appraisal</i>			27	
Economic Appraisal				
19	Expected economic benefits	Research outputs should benefit a large number of farmers. Benefits should also include projected increase in farm incomes	4	
20	Proposal is cost-effective	Low cost research techniques are preferred	4	
21	High level of benefits relative to costs	Ratio of benefits to costs should be high. Thus high cost proposals can only be justified by very large benefits	8	
<i>Sub-total Economic Appraisal</i>			16	
Communications Appraisal				
22	Assessment of communication needs of target group	Proposal should include plans to assess communication needs of target group for the dissemination of results	4	
23	Provision to develop appropriate materials for intended beneficiaries	Proposal and budget need to provide for production of communication materials	4	

24	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>			<i>12</i>	
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

(Attachments)

ATTACHMENT 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	

ATTACHMENT 2: REVISED WORK PLAN

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

ATTACHMENT 3: REVISED OUTPUT INDICATORS

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

ATTACHMENT 4: REVISED PROJECT BUDGET SUMMARY

Item No.	Item Description	Total (Ush)
1		
2		
3		
7		
8		
9	Institutional Overheads 15%	
10	Evaluation (5%)	
11	Contingencies (5%)	
	Total	

ATTACHMENT 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	itemise			
2.3. Local office costs (printing, communications, reports, etc.)				
2.4. Other				
SUB-TOTAL 2				
3. CAPITAL ITEMS				
3.1	itemise			
3.2				
SUB-TOTAL 3				
GRAND TOTAL				

ATTACHMENT 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 -----

⁶To be stated in Ushs.

Signatures:

Signed:-----
(Principal Investigator)

Signed:-----
(For Institution)

Date:-----

Title: -----

ATTACHMENT 7: PROJECT BANK ACCOUNT DETAILS

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

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

2. STATUS OF IMPLEMENTATION (NARRATIVE)

3. CONSTRAINTS TO PROJECT IMPLEMENTATION

4. PROPOSED SOLUTIONS TO CONSTRAINTS

5. ATTACHMENTS (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.				
3.				
4.				
Subtotal				
Budget Line:				
Expenditure item				
5.				
6.				
7.				
8.				
Subtotal				
Budget Line:				
Expenditure item				
9.				
10.				
11.				
12.				
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 attachments, 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 NCARF and policy makers use to assess the impact of NCARF-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 attachments. 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 (10% or more in budget terms) to budget. Provide details as to all budgetary contributions to the project. Compare with the original plan

and highlight any significant issues. Provide a detailed budget using the following format (as for the detailed work-plan) for the coming 12 months or remaining duration of the project.

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

<p style="text-align: center;">Project Title Project Number Name of service provider</p> <p style="text-align: center;">FINAL TECHNICAL REPORT</p> <p style="text-align: center;">DATE (Month and Year)</p> <p style="text-align: center;">by Author (Name and Organization)</p> <p style="text-align: center;">Collaborators (Names and Organizations)</p> <p style="text-align: center;">Start date</p> <p style="text-align: center;">End date</p> <p>Address</p>

B: Project Completion Summary

Project Title:		
Reference No.		
Lead organization		
Project Leader		
Collaborating Organisations & Names of Project Implementers	Organisation	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.

Achievement of Outputs

Output 1: (list)	Indicators: (list)

(repeat this box as a header for each output and where applicable provide the following according to the outputs)

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 NARC. 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/will 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, refereed journals or book chapters

Annex 12: Format for Completion Certificate

LOGO	
NATIONAL AGRICULTURAL RESEARCH ORGANISATION COUNCIL	
COMPLETION CERTIFICATE	
<i>Name of research project:</i>	
<i>Project Number:</i>	
<i>Names of research service providers:</i>	
<i>Period of implementation:</i>	
This is to certify that the above-mentioned project has been completed according to the conditions described below:	
<ul style="list-style-type: none">• Implementation of the research project has been completed to the satisfaction of the NAROC;• An end-of-project evaluation has been accepted as satisfactory by the NAROC;• An end-of-project financial report has been verified by the contracted firm of accountants and accepted as satisfactory by the NAROC; and• An end-of-project physical progress report has been accepted as satisfactory by the NAROC.	
_____	_____
Director General	Council Chairman

For projects terminated, the following text shall be used:

PROJECT TERMINATION ORDER (as title)

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

[Insert relevant reason]

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

No	Description of Activity	Planned Start Date	Actual Start Date	Planned Finish Date	Actual Finish Date	Quantitative Indicators		
						Qty		Units
						Planned	Actual	
1								
2								
3								
4								
5								
6								

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 NCARF				
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 NARC Secretariat

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

A: PROCEDURE

Steps	Service Provider	NAROC	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 NCARDF		
		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 NCARDF.

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:

- The problems and opportunities facing the target groups
- National agricultural research policy
- The economic and social environment
- Implementation capacity

c) Efficiency

The evaluation will assess the efficiency of use of NCARDF 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:

- 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?
- To what extent has the service provider complied with the provisions of the contract?
- Were the project funds efficiently transformed into outputs? Could the same or similar results have been achieved at lower cost?
- Was the methodology consistent with, and adequate for, the planned results?
- 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:

- What were the results of the project?
- To what extent did the outputs contribute to the results?
- Were there any unforeseen outcomes? If so, what were they? Did they have a positive or negative effect?
- 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:

- Interest and participation in the project by the target group
- Willingness to pay of the technology users
- Natural resource management issues that might reduce sustainability
- 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:

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

g) Cross-cutting themes

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

- Gender – were the specific needs, constraints and possibilities of women taken into account in project design and implementation?
- 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 the NCARF 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: Indicative Timetable

Call for Expression of interest	July 01
Closing date for submission of expression of interest	Aug 01
Review of expressions of interest	Aug 01 – Sept. 01
Call for proposals	Sept 01
Closing date for submission of proposals	Nov.01
Review and ranking of proposals	Nov 01 – Jan. 01
Council meeting	Jan 10
Approval letters sent	Jan.20
First instalment of funds sent	Jan 30