Regional Universities Forum for Capacity Building in Agriculture (RUFORUM)

RUFORUM Community Action Research Programme PLUS (CARP⁺)

Guidelines for Applicants

Reference: RU/MCF/CARP+/2019/01

Submission Deadline: 15ᵗʰ January, 2019 (23:59 Hours East Africa Standard Time)

Submission Channel: RUFORUM Information Management System (RIMS: www.rims.ruforum.org)

Summary

The Regional Universities Forum for Capacity Building in Agriculture (RUFORUM) in partnership with The MasterCard Foundation is implementing an eight year programme "***Transforming African Agricultural Universities to meaningfully contribute to Africa's growth and development (TAGDev)".*** The TAGDev Programme seeks to transform African agricultural universities and their graduates to better respond to developmental challenges through enhanced application of science, technology, business and innovation for rural agricultural transformation.

The TAGDev project specifically seeks to: 1) Pilot a new model of agricultural education at early adopter universities that connects tertiary agricultural education to rural communities, with an emphasis on smallholder farmers; 2) Strengthen agribusiness/entrepreneurship at two universities and selected TVET institutions; 3) Scale the new model for agricultural education to other agricultural universities and TVET institutions; and, 4) Increase collaboration and mutual learning among institutions and agencies implementing and influencing innovative Tertiary Agricultural Education for rural transformation in Africa. This project strategically responds to the efforts aimed at escalating skilled human resources and capacity to meet the AU Agenda 2063 as well as other frameworks such as the Science, Technology and Innovation Strategy for Africa (STISA-2024), S3A and the Comprehensive Africa Agriculture Development Programme (CAADP). It strategically contributes to the fulfilment of the RUFORUM's vision[1] and mission[2] and aligns well with The MasterCard Foundation mission[3].

This Call for the Community Action Research Programme (CARP) has been extended with a specific requirement to include Technical and Vocational Education and Training (TVET) institutions within the implementation of the CARP to enhance on-farm and community University led impact. The Programme is thus known as CARP[+]. The TVET constitutes an important element of the education system that has previously been neglected but with potential to provide skills to a wider group of Africa's growing youth population and enable them support Africa's economic growth[4]. The TVETs facilitate youth inclusion in the economic development by skilling them for gainful employment and enterprise development.

These detailed guidelines for CARP+ applicants is developed to support prospective applicants to develop innovative and competitive project proposals. Prospective applicants are requested to read these guidelines carefully prior to proposal preparation.

This Call for proposals is targeted for RUFORUM member universities in seven countries in Southern Africa including: **Angola, Eswatini, Botswana, Lesotho, Namibia, South Africa and Zambia under** window Two. This is a call for **FULL PROPOSALS** to be submitted by **15th January, 2019** before mid-night.

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[1] RUFORUM's Vision: *A vibrant agricultural sector linked to African universities that can produce high-performing graduates and high-quality research, responsive to the demands of Africa's farmers for innovations, and able to generate sustainable livelihoods and national economic development.*

[2] RUFORUM's Mission: *To strengthen the capacities of Universities to foster innovations responsive to the demands of smallholder farmers and value chains through the training of high quality researchers, the output of impact-oriented research, and the maintenance of collaborative working relations among researchers, farmers, market actors, national agricultural research and advocacy institutions, and governments.*

[3] To advance education and financial inclusion to catalyse prosperity in developing countries

[4] Economic Report for Africa, 2015. http://www.uneca.org/sites/default/files/PublicationFiles/era2015_eng_fin.pd

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1.1 Background

RUFORUM is an impact driven organisation guided by its motivation and commitment that is focused on transforming agriculture in Africa through innovative scientific research, education and training approaches. Achieving this focus has required frugal interventions in a range of areas. Through the Competitive Grants Scheme (CGS)[5], RUFORUM has been able to roll out a series of competitive grant programmes including: the Graduate Research Grants (GRG), Nurturing Grants also often known as Institutional Strengthening Grants (ISGs), Field Attachment Programme Awards (FAPA) and the Community Action Research Programme (CARP). These CGS programmes have been pivotal in facilitating the achievement of RUFORUM vision and mission by contributing to institutional change at universities especially making universities more responsive to farmer needs and increased scientific research output. The RUFORUM CGS is premised on the following objectives: i) to promote and support strategic change in higher education institutions for the enhancement of learning and teaching, by providing students with opportunities for problem-solving and practical experience and the opportunity to be creative, improve teamwork and be responsive to deadlines and client demands; ii) to raise the profile and encourage better university recognition of the grassroots demands in both their research and curricula; iii) to produce innovative and useful research that is effectively communicated; iv) to raise the profile and encourage better university recognition of the demands and needs for research and graduate skills by state, private, NGO and development agencies; v) to provide a mechanism, by encouraging multi-agency research projects, that enables universities to act as a fulcrum in the farmer, research, extension and service provider nexus; and vi) to link the universities to farmers and develop effective mechanisms for dissemination and improving communication between universities, rural communities and the servicing agencies.

The RUFORUM CARP is designed to encourage universities to develop and invest in more comprehensive and sustained action research and to establish a "platform" for engagement with all the stakeholders. Each CARP involve graduate and undergraduate students and is required to focus on a particular geographic area, or in a selected commodity, and to nest their research along the full value chain. The CARP was designed based on the successful scaling out of university research and particularly those that have demonstrated potential. The 'platform' provides an innovation hub around which action research is operationalised with smallholder farmers and relevant actors along the value chain. In principle, the CARP provides priority to fine-tuning knowledge and promote its usage to enable farmers add value to commodities that enhance farmer income.

The CARPs are required to establish a multi-agency partnership platform to work closely with the university researchers and the small farmers/agri-entrepreneurs at points along the value chain of the commodity selected. This action platform-outreach centre is established to optimise participation and uptake. It further helps to establish and extend links between the university and farmers, and between the university and other National Agricultural Research Systems (NARS) agencies, local civil society organisations and the private sector and link with the RUFORUM National Chapter (National Forum) to strengthen engagement between the university (together with the key stakeholders partners in agricultural sector including smallholders) and the national policy arena. As such, submitted projects must have both a research and a development focus with the platform engaging directly with the relevant communities to plan the research and/or develop a business plan, which is implemented over time with different groups of students feeding into each other. Where appropriate the CARP should help the university to create pilot entrepreneurial schemes that they will sustain after the project.

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[5] The RUFORUM CGS is well described in the RUFORUM CGS manual

1.2 Community Action Research Programmes Plus (CARP⁺)

Two previous rounds of CARP Calls have been implemented by RUFORUM. Three Projects were funded in the first round including: 1) the Fish CARP (Malawi) focused on enhancing fish production and marketing for food security and rural incomes of small-scale producers, 2) An agricultural ICT based Project called 'SUFACE' (Uganda) focused on Developing an Outreach Framework for Strengthening University-Farming Community Engagement for Improved and Sustainable Livelihoods, and 3) Soil and legumes CARP (Kenya) focused on the role of farmer associations to advance rural well-being through the expansion of services offered to the members within the soil and legumes productivity enhancement.

The second round of CARP projects included Cassava CARP focusing on development of community seed systems following dramatic outbreaks of disease (Cassava Brown Streak Disease-CBSD and cassava mosaic disease-CMD) in northern Uganda; Livestock value chain CARP that has focused on improving animal productivity in smallholder dairy farms through application of innovative technology for animal feeding and health management in Tanzania; and Wheat value chain CARP that is focused at enhancing productivity and nutritional quality, and marketing of wheat and value added wheat products among the farming communities in northern Ethiopia.

All these CARPs have had a significant research output and greater engagement in the community. The CARPs have shown their ability to reach a broad range of farmers (many reach over 5000 farmers) with university technologies, impactful research leading to increased incomes and food security among farming households.

Recent changes in the higher education sector have highlighted the importance of the Technical and Vocational Education and Training (TVET) Sector. That coupled with the high number of youth entering the workforce, provide opportunities for enhancing skills development for youth in Africa. RUFORUM is thus calling for an explorative fourth round of CARP projects to be implemented in Kenya and Uganda and other RUFORUM countries that will include co-action with TVET institutions under the CARP+ conceptualisation. The Project will build on the existing CARP model, by inclusion of TVET actors and institutions. The 'CARP⁺' will thus ensure clear engagement with TVET institutions, and how these institutions could be strengthened.

1.2.1   CARP⁺ Objectives

The Community Action Research Programme PLUS (CARP⁺) is an innovative initiative to increase deepening of university engagement with rural communities, private sector and TVET institutions as well as policy and decision leaders. It thus supports enhancing impact of university activities on small holder farmers, strengthen university community outreach, supports value chains development and capacity and experiential learning within universities. The CARP⁺ specifically seeks to:

1. Support collaborative action research led by universities with participation of graduate students that addresses critical agricultural production and marketing constraints facing smallholder farmers in Africa;
2. Provide opportunity for creation of multi-stakeholder 'platforms' that support value chain development for the benefit of small-holder farmers and to enhance the impact of university activities;
3. Provide action research platforms and opportunities for greater student engagement and experiential learning in supporting smallholder farm development through agribusiness and ensure that lessons are used to facilitate university reflection and learning;
4. Support strengthening of TVET institutions through engagement and joint action between universities and TVET institutions to enhance the impact of knowledge on small-holder farms;

1.2.2   Priority issues and areas of focus

Under the TAGDev Programme a number of CARP⁺ calls targeted for RUFORUM member universities are envisaged. This specific Call seeks to extend university activities to work more closely with rural communities through multi-disciplinary and multi-institutional partnerships involving key stakeholders such as research, extension and development agencies, policy-makers, the private sector and TVET institutions as a must. The Call will support proposals focusing on *crops and livestock sector value chains of strategic importance in the*

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targeted countries that provide opportunity for sustainably moving a significant number of smallholder farmers out of poverty and food insecurity.

This CARP+ 2018/2019 is designed as a targeted call to RUFORUM member Universities in seven Southern Africa countries including: **Angola, Eswatini, Botswana, Lesotho, Namibia, and South Africa and Zambia**. In this call the CARP+ project budget provision is US$300,000 for a period of 3-4 years. The member universities in the selected countries have not had the opportunity to participate in implementing a Community Action Research Programme. Through this targeted call, this opportunity is being offered to the member universities in these countries through a competitive process.

Whilst describing the involvement of TVET institutions, the project team should ensure that they detail the tangible deliverables and benefits that the TVET institutions will obtain from participating in their project. The TVET institutions should have clear roles and clarity provided on how the proposed project will lead to transformation at institutional as well as individual levels. The TVET institutions should not merely be test sites; they should be real partners in the implementation of the proposed project.

In the proposals, there should be a strong focus on facilitating value chain development, action research and integration and participation of TVET institutions as a mechanism to demonstrate sustainable and profitable livelihoods in agriculture. While applicants are encouraged to have a strong science base in the project proposals, applicants are also advised to have innovative conceptions of social engineering that allows for smallholder farmer empowerment as well as the sustainability of the projects.

1.2.3   Students training

Each successful project will support the training of at least **One (1) PhD**, **five (4) MSc. Students, four (4) undergraduate interns and 10 TVET students**. Training costs including among: tuition fees, curriculum development costs, research and equipment costs have to be inbuilt within the project budget.

1.3 Financial allocation for the CARP$^+$

1.3.1   Overall budget allocation and cost per project
RUFORUM has allocated money for **three CARP$^+$ projects** totalling to **US$900,000** with each CARP+ project value at **US$300,000** running for a period of 3-4 years.

1.3.2   Budget items

All activities, including students' costs need to be itemised using the budget template provided. The following cost items are examples of eligible costs (some have been inbuilt in the budget template):

i)   PhD student fees, stipend, research and travel expenses
ii)   Supervision fees and team expenses (note: these expenses will be paid against specific deliverables and not on a monthly basis);
iii)   Facilitating expenses for the action research, establishment of the platform and links into the National Forum;
iv)   Dissemination activities, including demonstrations either as pilot plants and/or agribusiness incubations;
v)   Travel associated with the project's activities implementation and/or dissemination;
vi)   Coordination costs for the PI to guide project implementation;
vii)   A maximum of up to 3-5% is allowable for the University administration costs and overheads;

The project applicants can consult with the RUFORUM Secretariat from time to time on eligible and non-eligible cost items.

PROJECT DEVELOPMENT

2.1 Project proposal preparation guidelines

These guidelines on proposal development and submission include information covering expectations in relation to proposals. Prior to Project preparation, please review the Guidelines for the Reviewers (See Annex A). You can also find useful material in the RUFORUM guide to effective graduate research in African agriculture, environment and rural development - **GEAR Graduate Environmental and Agricultural Research** which can be found online at http://repository.ruforum.org/documents/graduate-environmental-and-agricultural-research-gear-guide-effective-and-relevant

2.2. General guidelines for proposal format
The complete proposals must be a maximum of 26 typed A4 pages, 1.0 spacing, Times New Roman, font size 11 with normal margins (1 inch all through; top, bottom, left and right).

2.2.1 Main proposal

i) Cover page (1 page)
- Title of the proposal
- Call ID (RU/MCF/CARP+/2019/01)
- Names of Principal Investigator and institutional affiliation with full addresses including email and telephone.
- Names of participating researchers and their institutions with full addresses including email.
- Project start date and duration (August, 2019 and end date; August, 2023);
- Total Budget requested in US$.
- Short specific abstract of no more than **200 words** (respect the word count).

ii) Summary (1000 words maximum)
Provide a succinct summary of the Project. Please note that this summary will be provided to the evaluators for review and should provide a clear summary of the project including rationale, objectives, outputs to be delivered by the project and potential impacts to be achieved.

iii) Background (2 pages maximum)
Provide background information relating to the problem your research will address. Your background should also introduce readers/evaluators to the 'niche' issue(s) which your project seeks to address and how this will lead to the outcomes that are envisaged. Clarify alignment of your proposal to local, national and development as well as at the African Union level Agenda 2063 and the Sustainable Development Goals (SDGs). Demonstrate how this build on previous related initiatives. Who are the target beneficiaries and what process has been undertaken to engage them in the development of the proposed action. What are the needs and challenges of each of the target groups identified and how do these relate to the action proposed. What value proposition does your action make e.g. promotion of private-public partnership, university-business partnership, innovation and best practices, giving opportunity to the disadvantaged communities and what cross-cutting issues does your action address. You can create sub-sections to this broad section to keep you organised if you deem it relevant but not more than two sub-section headers.

iv) Associated Project (1 page maximum)
Where relevant, provide details of any relevant and related project related to the proposal. Clarify how your projects is associated. How will your project complement the existing knowledge?

v) Literature Review (1 page max.)
Provide the body of knowledge related to your research and highlight how your research will add value to existing knowledge. In particular outline earlier research that underpins what your project will be doing; and why it should be done. The literature review needs to be focused to the **specific** research addressed in

this proposal and provide evidence of understanding of the main issues to be researched, and of the current literature on the topic.

vi) Objectives (1/2 page)
What are the overall and specific objectives of your proposed research against which success or failure can be assessed? Where in the value chain does this project add value?

vii) Hypotheses to be tested (1/2)
It is important, where applicable, to include an underlying hypothesis/research questions that drives the research and then to provide some general hypotheses to be tested.

viii) Research Approach and Conceptual Framework (3 pages max.)
Outline how you will approach the problem, where the students, the farmers and partner agencies are involved and in particular identify the main concepts that underpin your approach to carrying out the research, relating this to the literature review. You need to specifically outline the participation of graduates students and how this is related to the problem framework. Clarify the modus and rationale for inclusion and participation of TVETs. You should within the description of your conceptual framework articulate the innovative nature of this proposed project detailing out what is new. Provide a conceptual framework.

ix) Methodology (3 pages max.)
Provide the methodology. Highlight how what research will be undertaken and how. Including the roles of each graduates student and where possible, describe what each graduate student will do including objectives and hypotheses. Please indicate how will you engage and involve stakeholders in the research - they should not be passive "subjects of research" but active participants. How will you engage with other key stakeholders, particularly farmers the community and other value chain actors? How will the TVET institutions be involved? It is also important to state how gender and other cross cutting issues will be addressed.

x) Value for money and impact? (2 pages max.)
Describe the beneficiaries of the project and how they will benefit and the potential impact of the project. Applicants should justify their approach and economic feasibility.

xi) Dissemination and communication (1 page max.)
Indicate how the results of your research will be disseminated to the various stakeholders. Where you are involved in action research with communities, TVETs, any ongoing workshops or After Action Reviews to discuss research management and results from on-farm trials need to be included in the budget. You need to indicate here the expected publications, policy briefs, pamphlets, radio broadcasts etc. Be realistic and not overambitious and show that the dissemination strategy is linked in with the available budget or other support sources.

xii) Sustainability (1 page max.)
Financial, environmental and social sustainability of the project be described. Include an analysis of risks any management strategies for each risks.

xiii) Project Management

a) Team organization and qualification (2 pages max.)
How do you propose to organize your team in order to achieve your project objectives? The role of each team member must be clearly described. Include CVs for the project team (use the provided template).

b) Monitoring and evaluation (1 page max.)
How will the project's achievements be monitored and evaluated to ensure proper management and enable early corrective action where necessary? Indicate clear milestones that will demonstrate progress whilst describing how the project will (a) monitor progress towards milestones and (b) evaluate the impact of the research, including the effectiveness of the

partnerships and sustainability of the solutions.

c) Results Framework (3 pages max.)
A results or a log frame matrix must be included in the project proposal (use the template plate provide).

xiv) References (1 page max.)
Include only references that you have quoted in the proposal and this should be within the 25 page limit.

xv) Budget (2 pages max.)
Give the anticipated cost of your project, with explanatory notes where necessary using the attached budget template. **Indicate co-funding, if any**. Co-funding is highly encouraged as part of project sustainability. All budgets must be in United States Dollars.

xvi) Timeline (2 page max.)
The CARP$^+$ projects are Four (4) year projects.

2.2. Proposal submission

All proposals shall be submitted through the RUFORUM information management system (RIMS; http://rims.ruforum.org/). The documents to be submitted should include the Proposal, the budget, a letter of support for the proposal from your University, abridged CVs of team members (**USE THE TEMPLATE PROVIDED**) and where available supporting letters from partner institutions. The support letters from partner institutions are a required item as proof engagement and understanding as well as joint proposal development.

- **How to create an account in RIMS**
    - o Open this website link: http://rims.ruforum.org
    - o If you don't have an account you will be asked to register here: http://rims.ruforum.org/contacts/register/
    - o After registering successfully you will be taken to your dashboard. What you see on your dashboard depends on the permissions that you have been assigned by the RIMS Administrator.
    - o For most members of the RUFORUM network we have captured your emails in RIMS. So the system might tell you that your account already exists. If this is the case then follow the steps related to resetting your password / forgotten your password

- **How to log on if you have an existing account**
    - o Open this website link: http://rims.ruforum.org
    - o Click to log into RIMS by entering your email as the username and your password
    - o After successfully logging on you will be taken to your dashboard. What you see on your dashboard depends on the permissions that you have been assigned by the RIMS Administrator.
- **What to do if you have forgotten your password or need to reset your password**
    - o Open this website link: link: http://rims.ruforum.org
    - o Instead of logging on Click "Forgot Password"
    - o You will be asked to enter your email address and then click reset password
    - o The link to enable you reset your password will be sent to your email address. Please also check for this link in your spam folder in case it is delivered to your spam. Follow the instructions to reset your password
    - o Use your email and the new password to log into RIMS
    - o After successfully logging on you will be taken to your dashboard. What you see on your dashboard depends on the permissions that you have been assigned by the RIMS Administrator

- **How to submit a scholarship application**
  - After successfully logging, you will be taken to a view where you will see a link called "Apply for a Grant" Click on this link and begin the application process
  - Choose correct call ID which is **RU/MCF/CARP+/2019/01**
  - Complete the online application form
  - Where there are required fields do provide all the required information in the right fields.
  - You can begin the application process, save and return to it at a later date /time.
  - As you work online please remember to save your work. You will also be reminded to save if you take time without saving your work.
- For any queries and inquiries do send an email to: mcf@ruforum.org

2.4 Timelines from proposal development to award

1. Deadline for full proposals submission to RUFORUM Secretariat by 15th January, 2019 (23:59 HRS EAT)
2. Compliance and External Reviews by March 15, 2018
3. Technical Committee meeting to select and Award the grant 25th June, 2019
4. Communication to PIs of shortlisted proposals by 5th July 2019
5. Submission of revised proposals 20th July, 2019
6. Grant Agreements signed by 30th July, 2019
7. Projects commence on 1st August, 2019

Annex A: REVIEW, SELECTION PROCESS AND PROJECT IMPLEMENTATION

3.1 Introduction
RUFORUM relies on the professional expertise, experience and judgment of the reviewers in the Project review process.

3.2 Criteria for evaluating proposals

3.2.1 Criteria for Compliance Review
i. Compliance review will focus on administrative criteria i.e. Lead partner from a member university in the identified countries, possession of a PhD, completeness of the application with relevant supporting documents.
ii. The proposal scope should be in position to provide opportunity for training 1 PhD, 5 masters, 4 undergraduate interns, and a cohort of 10 TVET students.
iii. It must conform to the budget limit and duration of project and be achievable within that framework.
iv. Page limits.
v. At least one TVET partner on the proposal.

3.2.2 Criteria for external reviewers evaluating proposals

A) Contribution to Development
i. The extent to which the proposed action emerge from an existing development need at national and regional level.
ii. The extent to which the research objectives, questions and/or hypothesis are rooted in the local practitioners' demands and the needs of the ultimate target group of the CARP+.
iii. The extent to which the research relates to and builds upon relevant local projects and existing initiatives either previously by supported by RUFORUM, funded by Government in the country/region and/or from the Development partners.
iv. The potential of the project to contribute to one or more of the foci of the CARP+, as well as contributing to the specific focus on national development objectives/plans.
v. The extent to which the proposed project sustainably contributes to local capacity development among different actors but most especially the smallholder farmers.
vi. Evidence that gender issues are addressed and given specific attention.
vii. Demonstrated evidence of the potential of the project to cause a transformation at various levels including; i) engagement with TVET; ii) training approaches at the university; iii) community transformation; and iv) institutional processes among others.

B) Contribution to Innovation
i. The extent to which the project show the potential for co-creation; i.e. the complementarities and level of integration of scientific knowledge and practitioners' knowledge, resulting in novel outcomes.
ii. The extent to which the project research methodology/approach and activities are adequate and feasible when placed against the proposed research objectives and questions/hypothesis
iii. Extent to which the project's conceptual framework and/or theory of change provide adequate level of project comprehension and provide strategic direction for quality project implementation.
iv. Innovative project delivery through participatory action research for development and community transformation processes that well-articulated showing a clear development path and direction.
v. Feasibility of the overall project design, including value added proposition of the project.
vi. Extent to which the project strategically positions the TVET institution and students as key players in the research, innovation and overall implementation process. Well spelt out TVET activities that are aligned to the overall project focus.
vii. Potential for uptake/application of the results and at what level.

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      viii.   Well-articulated methodological approach which are achievable within timeframe; evidence of good understanding of applicable methods.
      ix.   Well-articulated communication strategy for engagement.

C) *Project feasibility*
      i.   Graduate students research activities clearly defined and feasible; does research qualify student to obtain relevant degree.
      ii.   Proposed project activities and structure to be implemented ensures value for money.
      iii.   Well-articulated project's impact pathway and sustainability plan.

3.2.3 Criteria for selection by Technical Committee

      i.   Good external reviews and, where appropriate, effective revision of the proposal and outcome of the face to face interviews when conducted.
      ii.   Alignment with RUFORUM objectives and priorities.
      iii.   Clear articulation of problem, objectives, hypotheses and evidence of quality approach to research and evidence of the value-added by this research to existing knowledge or practice.
      iv.   Potential for impact on small holder farmers by universities.
      v.   Clearly defined role of the graduate students and relationship with client groups, supervisors and partners.
      vi.   Proposals with recognition and steps to promote women and/or marginalized groups will receive some preference.
      vii.   Proposals that are inter-disciplinary will receive some preference.
      viii.   Responsiveness to expressed demand of farmers/rural communities/governments/civil society
      ix.   Partnership and the effective integration of partners in the process.
      x.   Evidence of systems for internal monitoring and evaluation of the ongoing research and provision in the budget for external evaluation at the end of the project.
      xi.   A clear Results Framework reflecting outputs and outcomes.
      xii.   Clearly outlined and achievable dissemination plan.

3.5 Formal agreement and payment of Grants
Universities will be required to enter into an agreement with RUFORUM Secretariat. If there is any inconsistency between an agreement and these guidelines, the terms of the agreement will prevail. The conditions of the grant will be specified in the agreement. The agreement will specify the outcomes of the project to be achieved, the payment arrangements, conditions of the grant including financial and performance reporting requirements, requirements regarding variation to agreements, acquittal of grants and other related issues. On signing of the grant award letters (Vice Chancellor), the PIs are expected to submit a request for funds, on faculty headed paper and endorsed by the faculty dean or delegated authority. RUFORUM Secretariat makes annual disbursements on the presentation of all the necessary documents by the PI. The subsequent year project instalment is disbursed on the presentation/submission of a satisfactory technical and financial project report as well as an audited report from the University accounts unit/section.

3.6 Reporting requirements which should form part of the M&E
Students are expected to produce brief quarterly progress reports to be submitted to the Principal Investigator and uploaded on the link provided to them. Students are on monthly required to provide a brief progress through tweets and/or contribution to on-line discussion. The PIs are in turn required to submit to the Secretariat quarterly progress reports (narrative and financial) to allow for close tracking of the project and timely reporting. Further details for reporting will be provided in the grant award letter. Three months after termination of each grant, the PIs must submit a comprehensive Final Report, detailing outputs and outcomes of the project. Supervision, mentoring and facilitator fees will be released on the fulfilment of requirements as outlined in the milestones. Universities are required to provide regular performance reports (progress reports) and a final written report on the conduct of the project, as specified in the funding agreement. These reports must be signed by Principal Investigator, the Principal/ Dean of relevant faculty and reports copied to the Vice Chancellor.

Accounting of funds must be timely (every quarter) and all **ORIGINAL RECEIPTS** of expenditure incurred

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must be submitted. If accounting of funds is not received within the authorized period, then RUFORUM suspends consideration of proposals from that university and any other remittance of funds to that university, until satisfactory account statements and reports have been received and approved by the Secretariat.

PIs are required to submit a copy (including electronic copy) of student theses as well as a copy of all publications to the Secretariat as soon as these become available. Ongoing monitoring must be included as part of the project in its various stages and where possible be the role of a reference group of RUFORUM Principal Investigators established at each university or as part of the National Forum.

When a project team is not able to meet the milestones or the date for completion of the project, the project leader must seek a no-cost extension in writing at least one month before the due date from the RUFORUM Secretariat. No-cost extensions may be requested by the PI supported with satisfactory progress and financial reports. The project may not, for any reason, spend beyond the ceiling stated in the grant agreement. Any expenditure beyond the amount granted will be met by the grant recipient.

3.7 Financial Reporting

Funding must be used for the purposes specified in the funding agreement. Any spending outside approved expenditure must be refunded. Financial reporting and acquittal processes provide assurance of this to RUFORUM. A financial statement must be provided with the specified deliverables at the agreed milestones of the project. ***All the Financial Statements MUST be accompanied with Original RECEIPTS of expenditure and Submitted on a quarterly basis***. On completion of the project, a full financial statement complying with the conditions in the funding agreement must be provided by the agreed completion date (the date when all reporting and acquittal of funding should have been finalised). The financial acquittal should itemize how funds were used in the course of the project and be signed as true and accurate by the authorised person within the Member University as specified in the funding agreement.

Any funds not expended at the end of the project must be returned to RUFORUM. RUFORUM retains the right to reclaim funds if the conditions of these guidelines or the funding agreement are not fulfilled or where an overpayment has occurred. Universities are expected to undertake internal audit of all concluded RUFORUM projects and submit reports to RUFORUM. RUFORUM will from time to time commission specific external audits of supported projects.