



**EAST AFRICAN COMMUNITY
EAST AFRICAN SCIENCE AND
TECHNOLOGY COMMISSION (EASTECO)**

**EAST AFRICAN
REGIONAL RESEARCH
AND DEVELOPMENT GRANT
OPERATIONS MANUAL**



Table of Contents

| | |
|---|----|
| 1.0 BACKGROUND..... | 5 |
| 2.0 MANAGEMENT STRUCTURE AND FUNCTIONS | 7 |
| 2.1. Framework for Regional Grant Management..... | 7 |
| 2.1.1 EASTECO | 9 |
| 2.1.2 Research Grants Subcommittee..... | 10 |
| 2.1.3 Program Management Office..... | 10 |
| 2.1.4 Responsibilities of parties..... | 11 |
| 3.0 OPERATIONALIZATION OF THIS MANUAL..... | 11 |
| 3.1 The nature of the Operations Manual..... | 11 |
| 4.0 RESEARCH GRANT PROCESS..... | 12 |
| 4.1 Call for Proposals..... | 12 |
| 4.2 Proposal Review..... | 13 |
| 4.3 Notification of the applicants..... | 13 |
| 4.4 Funding Process..... | 14 |
| 4.4.1 Research Grant Contract..... | 14 |
| 4.4.2 Disbursement of research funds..... | 14 |
| 4.4.3 Accountability for research funds..... | 14 |
| 4.4.4 Auditing of research funds..... | 14 |
| 5.0 MONITORING AND EVALUATION OF RESEARCH PROJECTS..... | 15 |
| 6.0 DISSEMINATION AND PUBLICITY..... | 16 |
| 7.0 REMUNERATION..... | 17 |
| 7.1 Staff..... | 17 |
| 7.2 Participants in meetings, workshops and conferences organized by EASTECO..... | 17 |
| 7.3 Reviewers..... | 17 |
| 7.4 Consultants..... | 17 |
| 7.5 Technical Committee..... | 17 |
| 8.0 APPENDICES..... | 19 |
| Appendix 1a: Research Guidelines..... | 19 |
| A. PROPOSAL WRITING..... | 19 |
| B. BUDGETING..... | 19 |
| C. FUNDING PROCESS..... | 20 |
| D. REPORTING..... | 21 |
| E. AUDIT OF RESEARCH FUNDS..... | 22 |
| F. PROCUREMENT OF GOODS AND SERVICES/ CONSULTANCY..... | 22 |
| G. MONITORING AND EVALUATION..... | 23 |
| H. DISSEMINATION OF RESEARCH FINDINGS..... | 24 |

| | |
|--|----|
| I. INTELLECTUAL PROPERTY RIGHTS..... | 25 |
| J. TERMINATION OF RESEARCH/ ACTIVITIES..... | 26 |
| K. REPLACEMENT OF A RESEARCHER..... | 26 |
| L. APPLICABLE LAW AND ARBITRATION..... | 27 |
| M. ETHICS..... | 28 |
| Appendix 1 b: Proposal guidelines..... | 29 |
| Appendix 1c: Proposal Evaluation Sheet..... | 30 |
| Appendix 1 d: Research Funds Requisition Form..... | 33 |
| Appendix 1 e: Progress Report Format..... | 34 |
| Appendix 1 f: End of Project Report Format..... | 36 |
| PART 1: TECHNICAL REPORT..... | 36 |
| Appendix 1 g: Financial Accountability Format..... | 39 |
| Appendix 1 h: Budget template..... | 40 |
| Appendix 2: Research Grant Contract..... | 43 |

Preface

East African Science and Technology Commission (EASTECO) is as a semi-autonomous institution of the East African Community (EAC) mandated to promote and coordinate the development, management and application of Science and Technology in the Partner States. The Commission is the main regional agency through which Partner States develop and implement common science and technology policies, programmes and projects in priority areas including collaborative research, technology development, innovation and human resources development. The aim is to support sustainable production of goods and services and to enhance economic competitiveness of the region. In accordance with the stipulations of the EAC Common Market Protocol, the commission established a regional research and innovation fund known as East African Research Fund (EARF) to support research and development (R&D) in the region.

This manual provides a framework of systematic processes, procedures, rules and regulation within which management of research grants within the community shall be governed. The objective of the manual is to provide clear guidelines on research granting operations to ensure efficient and effective utilization of resources for successful implementation of research and development programs and projects. It also sets out the objectives, procedures, mechanisms, and systems for implementing, managing and reporting the progress of programs and project funded. The manual has been developed in consonance with the EAC Service and Financial Regulations, and will guide the implementation of party agreement with development partners.

EASTECO is committed to ensuring that regional research and development-granting system becomes efficient and cost effective, and that project and programs achieve their intended outputs, outcomes and impact. This will be achieve through generation of reliable data and information, innovations, products and services, and sharing the same to support development of evidence based policies, and translation in to commercial products for increased socioeconomic development and regional integration.

Executive Secretary

Eat African Science and Technology Commission

1.0 BACKGROUND

Experiences from most countries show that effective undertakings in research and technological developments are through multi-disciplinary collaborative approaches. Further, cooperation in the field of industrial R&D and technology transfer is an important area of collaboration identified in key EAC policy documents such as the EAC Treaty, the EAC Common Market Protocol and the EAC Industrialisation Policy and Strategy. Enhanced cooperation is expected to reduce duplication of efforts and ensure more rationalised research and technology initiatives in the region. In this regard, the East African Science and Technology Commission (EASTECO) in implementation of her objectives, collaborates with development partners to create various grant-funding mechanisms as platforms to support socio-economic and integration priorities that require research and development granting. All the grant platforms developed operate under the East African Research and Technological Fund (EARTF). The East African Research and Technological Fund is a creation of the Treaty for the Establishment of the EAC, through the Common Market Protocol 2010 and the decision of the 39th Council of Ministers as follows:

Article 103 of the Treaty for the establishment of East African Community recognized the fundamental role that science and technology plays in economic development and directs the Partner States to undertake to promote co-operation to develop Science and technology within the community through a number of intervention, including:

- i. The joint establishment and support of scientific and technological research and of institutions;
- ii. The creation of a conducive environment for the creation of science and technology within the community;
- iii. The mobilization of the technical and financial support from local and foreign sources and from international organizations and agencies for the development of science and technology in the community; among others.

Article 43 (4) of the Common Market Protocol (CMP) obligated the community to establish a Research and Technological Development Fund, and further direct Council of Ministers in part (5) to establish and make regulations for the implementation of Research and Technological Development Fund. The 39th Council of Ministers (EAC 39/Directive 80) directed EASTECO to expedite the

development of the EAC Regional Collaborative Research Program in the FY 2020/2021, which include:

- i. The development of the EAC Regional Research Agenda;
- ii. The development of the EAC Research Management Framework;
- iii. Establishment of the EAC Regional Research and Innovation Fund (EARIF)

This R&D Grant is one of the granting platforms under the EARTF, that provides research and innovation grants to support various projects for the promotion of science, technology and innovation. The aim of the grant is to promote sustained socio-economic growth through generation of novel evidence based knowledge and technologies that support the goal of transforming the EAC Partner States to the level of upper middle-income economies by 2050. The East African Community Vision 2050 prioritises investment in science, technology and innovation as key drivers and enablers of regional development and socio-economic transformation.

Sustainable grant mechanism requires an effective management and coordination framework. It is therefore imperative that a management framework be in place in order to ensure seamless and synergistic coordination processes at the regional level, and between regional and Partner State level. The regional research management framework will support and stimulate closer collaboration among institutions, and broader and deeper regional networks for accelerated regional integration and socioeconomic development.

This manual therefore provides a reference framework for grantors and grantees of regional research funds. The manual covers all aspects and procedures involved in the implementation and management of competitive grant schemes within the region. These includes but is not limited to systematic award processes and procedures, rules and regulation, within which management of grants for various funding platforms in the community shall be governed. The aim of the manual is to provide clear guidelines on granting operations to ensure efficient and effective utilisation of funds as well as accountability by partnering individuals and institutions for successful implementation of programs and projects. It also sets out the objectives, procedures, mechanisms, and systems for implementing, managing and reporting the progress of projects funded in a systematic manner. The manual has been developed in consonance with the EAC Service and Financial Regulations, and will guide the implementation of party agreement with development partners.

2.0 MANAGEMENT STRUCTURE AND FUNCTIONS

The management structure comprises the following components:

- (i). The EASTECO;
- (ii). Research Grant Subcommittee;
- (iii). Programme Management Office;
- (iv). Host Institutions
- (v). Grantees

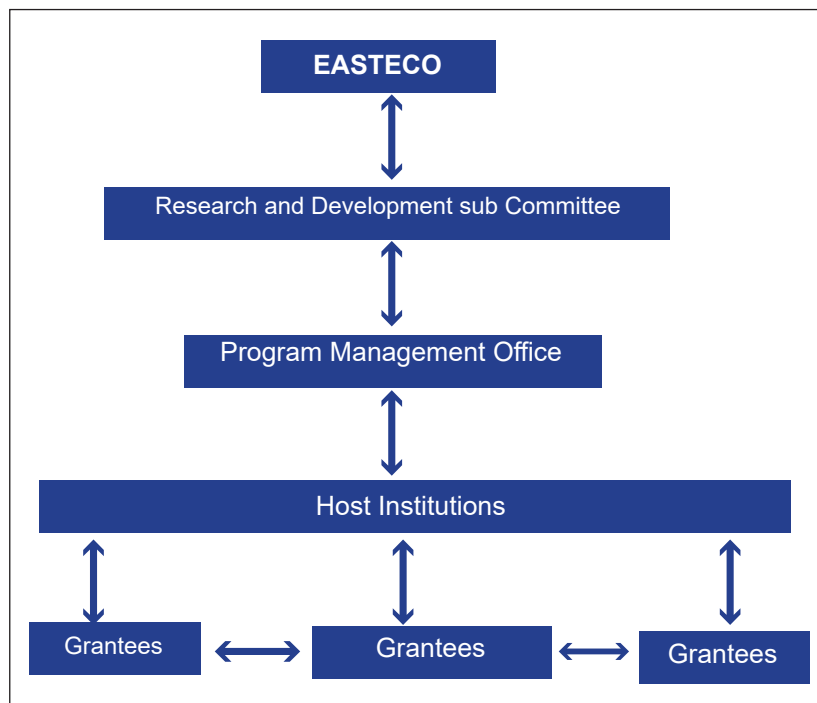
The EASTECO Heads of Department of Scientific Research and Development shall manage granting of projects in research and development, through the R&D Research Project Management Office (PMO), which shall be responsible for provision of technical and operational backstopping. The Regional Research and Development Advisory Committee (RDAC) shall perform the technical advisory and oversight roles. . The Host Institutions in the Partner States shall be responsible for ensuring observance of the terms and conditions of the grants, support for successful implementation and management of the projects. The grantees shall ensure efficient implementation of the projects and provide technical and financial accountability of the projects.

2.1. Framework for Regional Grant Management

The framework for management of regional research and development grants will guide grant platforms to enable that funded research projects effectively and efficiently achieve their objectives.

The framework consist of Research Grant subcommittee (RGC) of the Regional R&D Advisory Board. The Secretariat of the RGC shall be the Program Management Office (PMO), which is domiciled in the Department of R&D at EASTECO. The PMO will coordinate research grant management in liaison with grantee host institutions. The R&D grant management framework is depicted by the organogram in Figure 1, which provides linkage, flow of authority and responsibility in the administration of the regional research and development grants.

Figure 1. Organogram for Research and Development Grant



2.1.1 EASTECO

The EASTECO has the overall administrative, legal and fiduciary responsibility of the grant activities and therefore provision of necessary supportive working environment for smooth implementation of programme and projects. EASTECO shall also be responsible for the management of the funds in accordance with the EAC financial regulations.

In addition, EASTECO shall specify responsibilities of parties including development partners and thereof develop Party Agreement in adherence to general principles and guidelines for memorandum of understandings and contracts.

2.1.2 Research Grants Subcommittee

The purpose of the Research Grants Sub-committee (RGC) is to provide technical guidance and advice on investment in Research and Development; guide technical implementation of research grants programs; and monitor regional research programs in accordance with policies and regulations of the commission.

a) Composition and tenure of the RGC

- i. Twelve members of the RGC shall be enlisted competitively through an open call process;
- ii. One member shall be the representative of the Commission in charge of scientific research and development, who shall be the secretary to the sub committee
- iii. The subcommittee shall elect its chairman at its first sitting, and the tenure of the chairman shall be three years renewable once, subject to satisfactory performance;

b) Responsibilities of the RGC

The RGC shall be supported by the Commission secretariat in performance of its functions, through the department of Scientific Research and Development. The responsibilities of the subcommittee shall include:

- i. To further define the inter-disciplinary scientific strategy and determine its specific objectives and priorities through extensive consultation process to ensure equitable grant support in research priorities
- ii. To develop, and keep under continuous review, an implementation plan for regional grants mechanisms in close consultation with potential research partners, and to ensure that the plan ensures optimal use of available resources;
- iii. To establish and implement mechanism for monitoring, evaluation and Learning (MEL) to ensure proper oversight of research projects granted by the council;
- iv. To promote knowledge and skills in competitive grant applications through capacity building and outreach initiative in development of scientific research concepts and proposals;

- v. To report annually to RDAC on its activities, outputs and plans for the subsequent season;

2.1.3 Program Management Office

The Program management office (PMO) shall be responsible for:

- (i). The overall day to day administration of the research and innovation grant activities in accordance with EASTECO rules and regulations;
- (ii). Coordination and effective functioning of the grant, including preparation and submission of reports to Advisory Board;
- (iii). Correspondence with parties including the Regional Advisory Board, Host Institutions and Grantees to ensure effective coordination of grant activities;
- (iv). Development and dissemination of publicity materials; organizing research conferences; technical reporting and review, monitoring and evaluation;
- (v). Development and updating of technical guidelines and procedures for efficient management of the grant;
- (vi). prepare a summary report of the activities implemented, which shall include final recommendations for presentation and discussion by the RDAC

2.1.4 Host Institutions and Grantees

Host Institutions are responsible for administrative support, overseeing technical research project implementation and ensuring proper financial management and accountability of research funds. A working relationship shall be maintained with the Science Granting Councils in the Partner States for purposes of administering the research grant on behalf of EASTECO where necessary.

Grantees (Researchers) are responsible for implementation of research projects in effective and efficient manner, submitting periodic technical and financial accountabilities in time, attending and contributing in conferences, and publishing research outputs in accordance with the regulations.

3.0 OPERATIONALISATION OF THE MANUAL

The implementation of Grant activities shall follow the guidelines prescribed in this Manual and refer to relevant sections of the EAC Service Regulations and Financial Regulations Manual. The operationalisation of the Manual shall include but not be limited to the following:

- (i). Staff shall regularly consult this manual and guidelines, in addition to provisions and procedures of granting specified by development partner supporting the grant.
- (ii). All members of staff under the program have a responsibility to comply with the policies, procedures and guidelines specified in this Operations Manual
- (iii). For avoidance of doubt, where the provisions of this Operations Manual conflict with the guidelines and procedures of a development partners, the provisions under the grant agreement shall take precedence.

3.1 The Nature of the Operations Manual

- (i). The staff shall refer to the Operations Manual when conducting transactions of the grant.
- (ii). Since the operations of the grant may change as deemed necessary to reflect changing environment, this Operations Manual shall be reviewed and updated periodically by the RDAC in order to ensure relevance
- (iii). It is the responsibility of the RDAC to ensure that the guidelines in the Manual correctly describe the operations and that adequate controls are in place.
- (iv). The PMO shall advise all staff on changes in the Manual and shall exercise full control over all the issues stated therein.
- (v). All staff shall ensure that they refer to the appropriate version of the Manual at all times.

4.0 RESEARCH GRANT PROCESS

4.1 Call for Proposals

The RDAC shall approve the research themes and sub-themes prior to publication of call for proposals. The call for proposals shall be published in the newspapers in the Partner States, through posters circulated to universities, research institutes and relevant offices in the Partner States, and on the websites of science granting councils (SGCs) and that of EASTECO.

The applicants shall be allowed up to three months to respond to the call. The proposals shall conform to proposal guidelines (Appendix 1b). The call shall specify the following:

- (i). The Research theme and sub-themes: These shall be determined from time to time by the RDAC.
- (ii). Eligibility: Any fulltime staff working with a university, research institute, government department/agency, or industry in participating Partner States shall be eligible to apply.
- (iii). Team composition: The principle investigator (PI) shall be a PhD holder working fulltime with university, research institute or government department/agency or industry in the EAC Partner States. Each team shall comprise senior and junior researchers with different disciplines from a mix of Partner States as the call may specify.
- (iv). Proposal outline: This shall include:
 - a). Title
 - b). Authors and their institutional affiliations
 - c). Summary of the proposal
 - d). Introduction (Background to the study)
 - e). The research problem
 - f). Contribution of the research to attainment call objectives
 - g). Objectives (overall and specific)
 - h). Hypotheses/Research questions
 - i). Literature Review
 - j). Methods

- k). Expected outputs
 - l). Roles and responsibilities of each researcher
 - m). Logical Framework (Log frame)
 - n). Work Plan
 - o). Budget (in the grant format)
 - p). Résumé of each team member (1 page only)
- (v). Deadline: The closing date and time shall be specified in the call.
- (vi). The receiving office: Medium of submission shall be specified in the call. Submission shall be before the date and time specified in (v) above.

4.2 Proposal Review

The proposal review process shall comprise:

- (i). Short listing of proposals: Proposals that meet the deadline and basic criteria shall be evaluated through an internal administrative process by PMO and the successful ones selected for external peer review process.
- (ii). External review: Each proposal shall be reviewed by at least three experts appointed from within and outside the East Africa region.
- (iii). Evaluation of reviewers' reports: The Regional Advisory Board shall receive and evaluate the reviewers' reports in a meeting convened by the PMO. The RDAC shall recommend to Management the fundable proposals.
- (iv). Approval of proposals: The Management shall consider recommendations of the RDAC and approve the fundable proposals.

4.3 Notification of the applicants

All applicants shall be notified of the outcome of their proposals. Successful applicants may be called for an interview and/or required to revise their proposals based on the comments of the reviewers and the RDAC. The revised proposals shall be submitted to the PMO, within a specified time, to enable the funding process to commence.

4.4 Funding Process

4.4.1 Research Grant Contract

Research Grant Contracts (Appendix 2) shall be signed by the following parties:

- (i). The researcher
- (ii). The researcher host institution
- (iii). The EASTECO

Contracts for subsequent years shall be renewed annually by a written notice.

4.4.2 Disbursement of research funds

Upon return of signed contracts, completed requisition forms and approved budget, the research funds shall be processed and disbursed to the host institution's bank account by electronic transfer. The grant Accountant shall inform researchers immediately of the funds transferred to their host institutions. The host institution shall acknowledge in writing receipt of research funds disbursed.

4.4.3 Accountability for research funds

Researchers shall submit accountability for research funds to the host institutions. The host institution shall verify the expenditures in relation to approved research budget and submit annual financial report to EASTECO, no later than 14 days from the date of the first anniversary of the disbursement of funds. The financial report shall include certified copies of original receipts of the expenditures incurred. Additional funds shall be disbursed upon approval of the technical and financial reports.

4.4.4 Auditing of research funds

The project funds at the host institution shall be:

- (i). Audited by EASTECO from time to time.
- (ii). Audited annually or at any other time as may be deemed fit by a firm appointed by EASTECO.

5.0 MONITORING AND EVALUATION OF RESEARCH PROJECTS

The PMO and any appointed experts shall undertake field and laboratory monitoring and evaluation of the research projects at least once a year. The PMO shall however, continuously monitor the progress of the projects electronically through submitted reports. The monitoring and evaluation of projects shall include both financial and technical aspects. The PMO shall give feedback to the researchers after the monitoring exercise has been completed. The PMO shall prepare a monitoring report that shall form part of the annual technical report to be presented and discussed at the Annual Review Meeting (ARM) of the RDAC. Issues from the monitoring exercise that require technical guidance by PMO shall be brought to the attention of the members at their meeting. The PMO may make recommendations on such issues for action by the RDAC.

The researchers shall submit annual technical reports that shall be subjected to external review and researchers shall respond to the reviewers' comments within 14 days. Prior to the on-the-spot (field and laboratory) visits, the researchers shall prepare progress reports to guide the monitoring and evaluation team. It is mandatory for researchers to participate in the monitoring and evaluation exercise. Measures specified in the researcher' contract shall be applied where a researcher refuses to meet or dodges the monitoring team.

The PMO shall prepare the following plans and reports for presentation, discussion and approval at the ARM:

- (i). Annual Work Plan
- (ii). The Budget
- (iii). Annual Technical Report
- (iv). Annual Financial Report
- (v). Minutes of the previous ARM
- (vi). Any other advisory documents and reports requested by the RDAC

The PMO shall prepare the agreed minutes that are signed by the RDAC at the end of the ARM. The PMO shall submit the annual technical and financial reports to be presented, discussed and approved at the ARM by the RDAC.

The ARM shall be held within the first four months of the financial year.

6.0 DISSEMINATION AND PUBLICITY

Information about grant activities shall be disseminated to stakeholders through:

- (i). EASTECO/SGC websites.
- (ii). EASTECO/SGC newsletters.
- (iii). Television and Radio.
- (iv). Newspapers.
- (v). Pamphlets.
- (vi). Publications.
- (vii). Posters.
- (viii). Exhibitions.
- (ix). Other media.

The research findings shall be disseminated to stakeholders through:

- (i). Journal articles.
- (ii). Conference/workshop proceedings.
- (iii). Book chapters.
- (iv). Newspapers.
- (v). Exhibitions.
- (vi). Posters, fliers and brochures.
- (vii). Policy briefs.
- (viii). Cluster workshops.
- (ix). Other methods and formats as need may arise.

Researchers shall be supported to present research findings at conferences. Support shall extend to researchers whose papers have been accepted for oral presentation only. The support shall cover wholly or in part travel, registration fees, and subsistence costs. Researchers may also be supported to publish their findings in peer-reviewed journals that charge page fees.

In order to facilitate information sharing and exchange, an electronic discussion platform shall be created and managed by EASTECO.

7.0 REMUNERATION

7.1 Staff

The staff recruited under grant platforms shall be remunerated as per the EAC Staff Rules and regulations.

7.2 Participants in meetings, workshops and conferences organized by EASTECO

- (i). Out of pocket allowance: Participants shall be paid applicable daily subsistence allowance to cover personal expenses on the day of arrival and subsequent days of the meeting/workshop/conference.
- (ii). Accommodation: This shall be provided on a full board basis.
- (iii). Travel refund: Participants who travel by road shall be paid mileage based on EASTECO rates.
- (iv). Transit allowance: Participants that spend nights while in transit to meetings, workshops, conferences shall be paid full per diem per night.
- (v). Honorarium: Participants who facilitate meetings/ workshops/ conferences shall be paid as follows:
 - a). Chairpersons and rapporteurs shall be paid USD 100 per session upon completion and/or submission of acceptable report.
 - b). Participants who consolidate rapporteurs' reports and technical papers into proceedings shall be paid a lump sum of USD 100.
 - c). Local organizers/Focal points who assist in workshop arrangements shall be paid a lump sum of USD 100.

7.3 Reviewers

Review of proposals and technical reports will not attract monetary reward.

7.4 Consultants

Consultants that render services to the grant shall be paid according to the rates agreed on in the contract and approved by the EASTECO. Consultants that provide expert services that are not subjected to tender committee evaluation shall be paid according to the rates approved by the Executive Secretary.

7.5 Regional Advisory Board

Board members shall be entitled to the following when invited to participate in grant meetings:

- a). Return air ticket
- b). Daily subsistence allowance
- c). Mileage shall be paid to participants coming from the host country as per EASTECO rates
- d). Visa and transit costs shall be reimbursed upon presentation of receipts.

8.0 APPENDICES

Appendix 1.a : Research Guidelines

A. PROPOSAL WRITING

1. Proposal content: EASTECO shall provide Proposal Guidelines as indicated in Appendix 1b for every proposal call.
2. Team composition: Each team shall comprise of researchers from at least four EAC Partner States. Partnerships can be established with International Partners (IPs), and or private companies, technology hubs, business incubators and accelerators. The lead applicant for each proposal will be the Principal Investigator (PI). The PI shall be:
 - (i). preferably a holder of a PhD,
 - (ii). Working as a fulltime staff with either a university, research institute or government department/agency or the industry in the EAC Partner States.
3. Research theme: The Steering Committee shall identify the priority thematic areas for regional research agenda and determine a specific theme from time to time.
4. Submission and deadline: Every call for proposals shall specific timelines based on agreed criteria.
5. Proposal review: Only the proposals that meet the criteria specified in (1)-(4) above shall be shortlisted and subjected to review. Three external reviewers shall evaluate each shortlisted proposal.
6. Feedback: Principal Investigators (PIs) of submitted proposals shall receive feedback on the status of their proposals within 60 days after submission.

B. BUDGETING

1. Budget format: There shall be three levels of budgeting:

- (i). the long-term budget covering the whole duration of the research project;
- (ii). the annual budget that is mapped to the work plan; and
- (iii). Quarterly budget that is derived from planned activities.

The applicants shall prepare budgets using the template in Appendix 2, section B 2. The budget for each project shall be agreed upon by all members before contracts are prepared.

2. Budget line categories: The common items in all projects have been given specific standardise rates as follows:-

| ITEM | RATE (USD) |
|--|------------------------|
| 1. Communication (per year) | |
| a. Principal Investigator (PI) | 500 |
| b. Co-Investigators | 100 |
| 2. Daily subsistence allowance (DSA) | |
| (a) Researcher (within the country) | 75 |
| (b) Researcher (outside the country) | 150 |
| (c) Research Assistants (within the country) | 50 |
| 3. Travel | |
| • Mileage | 0.8/km |
| • Air travel | As per market rate |
| 4. Others | |
| • Laptops/ Computers | 1,200 |
| • Administrative fees (overheads) | 5% of researcher grant |

Note:

- Personnel costs should not exceed 25% of total budget.
- Each project shall be allowed to purchase a maximum of two laptops per year. Each researcher is entitled to one laptop/ computer for the entire duration of the project.
- The host institution shall provide a receipt for amount received as administrative fees.

C. FUNDING PROCESS

Research Agreement: Every researcher receiving research funds shall sign a contract. The contract shall be between three parties; the researcher, the host institution, and the EASTECO. The contract shall be renewed periodically, subject to satisfactory performance. Researchers shall be expected to return the signed contract to EASTECO before the funds are disbursed.

1. Disbursement schedule and work plan: Each researcher shall prepare a research funds disbursement schedule and submit to EASTECO together with the contract. The schedule shall give details of when and the amount of funds the researcher plans to withdraw from the host institution. The schedule shall be sent to the host institution to guide release of the funds to the researcher.

2. Requisition for funds: EASTECO shall provide a requisition form to the researchers. The form shall be sent to the researcher together with the contract. The Research Fund Requisition Form (Appendix 1d) shall be used every time the researcher applies for funds.
3. Subsequent disbursements: Additional research funds shall be disbursed after the following conditions have been met:
 - a).End of year technical reports have been submitted, reviewed and satisfactorily revised by researchers.
 - b).Satisfactory accountability for funds has been made and submitted to EASTECO.
 - c).Other conditions stipulated in the agreement have been complied with.

D. REPORTING

There shall be both project technical and financial reporting.

1. Technical Reporting

The project technical reports shall comprise of Inception, End of Year, End of Project and Progress Reports. The narrative reports are to be prepared jointly by the implementing and collaborating partners. The reports may contain visual materials such as graphs, diagrams, pictures, photos and audio-visual clips to increase understanding.

- (i). Initiation Report: Upon signing of the agreement and receipt of the funds, the PI shall convene the inception meeting that shall be attended by all members of the team and the PMO. This planning meeting will streamline operation and implementation mechanism that shall be discussed and agreed on. A report of the imitation meeting shall for the reference for the first M&E. The format of the report is provided in Appendix 1b.
- (ii). End of year report: All team members shall provide information and data and participate in writing of the end of year report. The report shall conform to the Progress Report Format (Appendix 1e). The PI shall submit the report according to the deadline indicated in the contract. The report shall be externally reviewed, the reviewer's report sent to researchers and the researchers shall be expected to respond to the comments in the report within two weeks.

- (iii). End of project report: Upon completion of the research project, the PI together with all the team members shall submit an end of project report to the secretariat using the End of Project Report Format (Appendix 1f). The PI shall be informed when the report has been received and accepted. A researcher shall be cleared after the report has been accepted and research funds fully accounted for.
- (iv). Progress reports: Researchers may be requested from time to time to submit progress reports to assist the EASTECO make informed decisions on the status of projects.

2. Financial reporting

Summarized report-showing budget against actual expenditure: Researchers/host institutions shall prepare financial report and submit to EASTECO using the format in Appendix 1e.

Supporting documents: Researchers/host institutions shall provide certified copies of originals of all receipts, vouchers and any other supporting documents for the expenditures incurred in the research project. The supporting documents shall be certified and stamped by the Finance/Audit/Accounts department of the host institution.

Unaccounted/Unutilized funds: During the implementation of the research project, any unaccounted/unutilized funds shall be deducted from subsequent disbursements. On expiry of the contract, any unutilized funds shall be returned to EASTECO within 60 days after the expiry date. Any funds that have been spent outside the approved research activities shall be regarded as unaccounted for funds.

E. AUDIT OF RESEARCH FUNDS

The host institutions shall be subjected to audit to the extent of funds received for research. EASTECO shall undertake the audit or appoint auditors to carry out the exercise on its behalf.

F. PROCUREMENT OF GOODS AND SERVICES/ CONSULTANCY

Goods and services shall be procured using the procedures of the host institution. In the absence of a procurement policy at the host institution, the Public Procurement and Disposal (PPDA) Act of the researcher's country shall apply.

Services of a consultant may be sought in cases of specialized expertise required by the research team. The cost of the consultancy shall not exceed 5% of the team's total research budget.

G. MONITORING AND EVALUATION

Monitoring and Evaluation (M&E) shall be carried out to ensure that effective implantation to achieve the desired impact. Thus, it is necessary for all actors to implement a continuous and rigorous system of monitoring, evaluation and learning (MEL). The results from the monitoring exercise will inform on the continuity processes. Thus the M&E exercise will include:

1. Electronic: The secretariat shall carry out continuous monitoring electronically. Researchers shall complete and return electronic questionnaire sent from EASTECO at least once a year.
2. Review Missions: These will include Field, Lab and site visits. The PMO together with the researchers as well as other stakeholders shall arrange for field, lab and site visits. The aim of the review mission is to assess progress with regard to implementation of activities, as per the approved annual workplan and budget. The review missions shall cover both technical and financial aspects. The researchers shall receive prior information on the itinerary of the field monitoring exercise. Researchers shall be required to prepare a status report to update and guide the monitoring team. It is mandatory for researchers to participate in the monitoring exercise. If a researcher defaults, measures specified in the researcher contract shall be applied. Photographs and videos may be taken, and may be used in publications and documentation of success stories and for archiving in a photo library.
3. Researcher meetings: Researchers shall present and discuss their findings in the meetings organized by the PMO. It is mandatory for researchers to participate in the researcher meetings.
4. Biennial Conference: EASTECO shall hold Annual Science Technology and Innovation Conference and Exhibition. Researchers shall be required to present their findings, exhibit research products and participate in the Conference.

H. DISSEMINATION OF RESEARCH FINDINGS

Research outcomes shall be disseminated to both research and more widespread audiences to inform potential users and beneficiaries of the research. The EASTECO ascribes great importance to the dissemination of results and all awarded researchers shall use various modes to disseminate their research in order to help ensure continued funding for scientific research. These shall include but not be limited to:

1. Support to International conferences: EASTECO shall provide financial support in whole or part (registration fees, travel costs, etc.) to researchers that have been invited to present oral papers in international conferences provided that:
 - a). The findings are derived from EASTECO research work;
 - b). A full paper of the presentation and invitation letter is submitted to PMO; and
 - c). Application for support is submitted to PMO at least eight weeks before the conference.

2. Support to publish in refereed journals: The awarded researchers shall publish the results of their research in the appropriate scientific journals. EASTECO shall provide financial support to researchers whose papers have been accepted for publication in peer reviewed journals. The level of support shall be determined by the management. The EASTECO shall meet the costs of publications provided that:
 - a). The findings are derived from EASTECO supported research.
 - b). Application for support is accompanied by proof copies of accepted papers, an invoice and full bank details of the journal not less than four weeks before date of publication.

3. Local Stakeholders: All researchers shall be required to share their findings (interim and final) with the local stakeholders in the study areas.
4. Policy makers: Research findings shall be shared with the policy makers in the region.
5. Exhibitions: PMO may invite and support researchers from time to time to exhibit their findings/outputs at various forums.

I. INTELLECTUAL PROPERTY RIGHTS

The EASTECO and the parties engaged in the research shall ensure that the intellectual assets obtained in the course of the research, whether protected by intellectual property rights or not, are used to the benefit of EAC citizenry and for socioeconomic development of the region. Research outcomes should be disseminated to both research and more widespread audiences to inform potential users and beneficiaries of the research.

Arrangements for collaboration and/or exploitation must not prevent the future progression of research and the dissemination of research results in accordance with academic custom and practice.

- 1) Project results and findings shall be freely published and distributed. Due credit and recognition shall be given to Development Partners, and EASTECO.
- 2) EASTECO shall have the right to exhibit, copy and distribute in a suitable form prototypes, any reports and publications which have been submitted by the researcher or research team as part of information dissemination.
- 3) As regards patents and know-how, the participating institutions and researchers cooperating in the research project shall have access to all results and know-how obtained within the collaborative project. Each party in the cooperation shall have the right to the patent in their own name and at their own expense.
- 4) The registration fees for the patent in Kenya, Rwanda, Tanzania and Uganda shall be divided equally between the participating institutions. The participating institutions shall decide whether or not the patent is to be registered in a third country.
- 5) Should EASTECO choose not to exercise its right to apply for a patent, the other institutions shall be given the option to do so in their own name and at their own expenses.
- 6) The participating institutions shall have a right to equal shares of the revenue derived from grant of user license(s) to third parties if the patent is registered by mutual agreement. The grant of user licenses and patent(s) shall be determined in each case and by mutual agreement between the participating institutions provided the participating institutions agree in delegating such a task to one party.

J. TERMINATION OF RESEARCH/ ACTIVITIES

- a). Projects shall remain valid until the end of the period agreed upon, unless terminated earlier by three months' written notice by EASTECO, the Host Institution or the Researcher.
- b). In the event of serious breach of the agreement or death of researcher, EASTECO may terminate the project with immediate effect and may demand refund, wholly or in part, of the disbursed funds, from the host institution. Other actions giving rise to termination of the project shall include:
 - i. Plagiarism.
 - ii. Lack of satisfactory progress demonstrated within one year.
 - iii. Recycling completed research.
 - iv. Researcher misappropriating funds.
 - v. Host institution misappropriating funds.
 - vi. Researcher colluding with host institution to misappropriate research funds.

In the event of the occurrence of (iii) to (vi) above, the granting council may reclaim whole or part of the disbursed funds.

- c. In case of change of job and or station, the host institution shall terminate further disbursement of funds to the researcher until a new arrangement is concluded.

K. REPLACEMENT OF A RESEARCHER

The procedure for replacing a member of EASTECOs' funded research team is as follows:

1. The team member shall discuss with the team leader and give reasons for leaving the project. Record of the discussion shall be kept.
2. The Team Leader, if satisfied with the reason given by the team member, shall formally write to the PMO, indicating the willingness of the team to replace the researcher who wishes to leave the project. The following information shall also be given:
 - (i). The name and institutional affiliation of the researcher that wishes to leave the project.
 - (ii). The researcher's reasons for leaving the project.
 - (iii). The possible replacement (strictly from the same country and

- preferably from the same institution), the academic background and qualifications of the proposed person.
- (iv). The time when the proposed person expects to join the research project.
 - (v). A letter from the proposed person indicating willingness to join the team and take up the roles and responsibilities of the exiting researcher.
 - (vi). The willingness of the team to replace the researcher that is leaving the project.
3. The PMO shall respond to the Team Leader stating its position on the matter.
 4. The proposed replacement shall send his/her full CV to the PMO for scrutiny and approval.
 5. If acceptable, the PMO shall notify the RDAC about the changeover of the researchers.
 6. The Executive Secretary shall write to the institution from which the replacement comes to:
 - (i). Notify the institution of the changeover.
 - (ii). Request the exiting researcher to handover any remaining research funds, equipment, data and other items belonging to the project to the new researcher.
 - (iii). Request for bank details (in case the new researcher comes from a different institution or academic unit) for future fund transfers to the new researcher.
 7. The PMO shall write to inform the new researcher about the changeover.

L. APPLICABLE LAW AND ARBITRATION

Any dispute, controversy or claim arising out of or in connection with the research that cannot be settled amicably shall be settled by arbitration in accordance with the laws of the host country.

An arbitrator shall be appointed and the place of arbitration shall be the Capital City of the country of the relevant country. The language used in the arbitration proceeding shall be English.

M. ETHICS

Researchers will be responsible for ensuring adherence to all ethical issues relating to the research including completing the necessary due diligence in regard to ethics approval from a relevant regulatory body and securing free, explicit, and informed consent from any individuals who participate in the research. Such approval to undertake the research must be granted before any work requiring approval begin. Therefore, researchers shall be required to provide the necessary clearance certificates from appropriate national bodies before undertaking studies.

Ethical issues should be interpreted broadly and may encompass, among other things, relevant codes of practice, the involvement of human participants and any other issues in the conduct of the research that may result in damage to the environment and the use of sensitive economic, social or personal data.

Appendix 1 b: Proposal guidelines

The proposal must have the following sections:

- (i). Cover page (with title, names of team members, institutions of affiliation and contact addresses including e-mails and telephones)
- (ii). Executive Summary
- (iii). Background to the Study
- (iv). Research Problem
- (v). Justification/Significance of the Study (including how the research will contribute to achievement of EASTECO objectives)
- (vi). Conceptual Framework
- (vii). Literature Review
- (viii). Aim and Objectives
- (ix). Research Questions or Hypotheses
- (x). Methods of Data Collection and Analyses
- (xi). Expected outputs
- (xii). Work Plan
- (xiii). Logical framework (Log frame)
- (xiv). Budget
- (xv). References
- (xvi). One-page resume of the Principal Investigator and each team member
- (xvii). Letter of commitment from the PI's host institution indicating that it will supervise project implementation and manage research funds if the proposal is successful.

The proposal must not exceed 20 pages typed on one side of A4 paper at single line spacing using Times New Roman font size 12. Proposals that do not adhere to the format and provide all the above information will not be reviewed.

Appendix 1c: Proposal Evaluation Sheet

| ITEM | MAX SCORE | SCORE AWARDED | COMMENTS |
|---|-----------|---------------|----------|
| Title of the project (Is it clear relevant and captures the concept in the proposal) | 02 | | |
| Summary of the project proposal (Does it encapsulate the whole project) | 05 | | |
| Background to the project including literature review (Is the background sufficiently described? Has recent and relevant literature been cited?) | 10 | | |
| Significance/justification of the project (Does the project add value to the research outputs already available?) | 10 | | |
| Purpose and commercial objectives of the proposed project (Do the objectives lead to translation of the research results/ outputs into product of commercial value?) | 15 | | |
| Methodology (Are the methods suitable for the type of project proposed leading to attainment of the objectives and generation of the products stated?) | 20 | | |
| Expected outputs e.g. products/ technologies/processes etc. (Can the outputs be realized from the project within the timeframe indicated?) | 03 | | |

| | | | |
|---|-----|--|--|
| Expected outcomes How realistic and strategic are the outlined outcomes? | 03 | | |
| Expected impact How realistic and strategic are the outlined impact? | 03 | | |
| Collaboration/partnership with business/industry (What value will be added to the project through collaboration/partnership with business/industry?) | 04 | | |
| Cross cutting issues: How adequately are gender, environment health and ethical issues articulated? | 04 | | |
| References (Have these been compiled in alphabetical order and written in standard journal format?) | 04 | | |
| Work plan: the timeframe not exceeding 18 months (Is it clear, realistic and achievable in the time given?) | 04 | | |
| Budget (Is it activity-based? What is the contribution from industry/business organization?) | 05 | | |
| Log frame (should be results-based)(Is it clear, easy to follow and allows evaluation of the project's achievements?) | 08 | | |
| | 100 | | |

Overall evaluation:

(a) The project is worth funding (give reasons).

.....
.....The
project is not worth funding (give reasons)
.....
.....

EVALUATOR:

Name:.....

Institution:.....

Signature:.....

Date:.....

Appendix 1 d: Research Funds Requisition Form

Researcher Reference Code:

1. Name of research

2. tution

3. Project title:.....

4. Research year:.....

5. Team members:

 i.

 ii.

 iii.

 iv.

 v.

6. Approved total project amount:.....

7. Amount allocated to researcher

8. Amount requisitioned:.....

9. 1st Instalment received:.....

10. 2nd Instalment received:.....

11. Bank details:

Account title:.....

Account number:.....

Bank address.....

SWIFT Code:.....

12 Researcher's signature:..... Date:.....

NOTE*: This form should be accompanied with accountability of previous funds received and used whenever you requisition for funds.

Appendix 1 e: Progress Report Format

Part 1: General Information

The cover page should have the following information:

- a. Project title and year of reporting (e.g. Year 1 etc.)
- b. Names and addresses of team members (include e-mails and mobile telephone numbers)
- c. Date of report submission.....

Part 2: Technical Report

2.1 Executive Summary (1-2 pages)

This should be concisely written like an abstract and should include the research problem, scope of the project including study area (where appropriate), main objective of the study, methods used to collect and analyse data, key findings/ achievements in relation to the targets, challenges encountered and how they were addressed.

2.2 Introduction (1 page)

It should include a short background to the project, the research gap or problem addressed, the conceptual framework, target population, and study objective. Research questions, hypotheses and research problem should be stated where applicable.

2.3 Methods (2 pages)

A brief description of study sites (where applicable).
Materials and methods used to collect and analyse data.

2.4 Results (will vary with amount of data collected: 5-15 pages)

Results for each objective should be presented systematically under headings and sub-headings that are consistent with the sections in the methods.

2.5 Discussion (3-5 pages)

Interpret results in the context of the study, and indicate what they mean in relation to other findings as well as contributions towards development of products, services, processes and innovations. Scientific contributions/breakthroughs

should be reported in this section. Shortcomings that could have affected the results should be discussed here.

2.6 Conclusions and Recommendations (1-2 pages)

The conclusions should come from the objectives and derived from findings. Recommendations should be realistic and specific.

2.7 Constraints/challenges and how they were addressed (1-2 paragraphs)

Indicate constrains to the study and how they were addressed or overcome.

2.8 Annexes (do not attach raw data)

Provide a detailed work plan and activity-based budget for the reporting period. List of participants in various activities should be appended as evidence of stakeholder participation in the project.

Part 3: Financial Report (1-3 pages)

1. Financial statement/summary sheet certified and stamped by the Finance/ Internal Audit/Accounts office of the host institution should be provided. The reporting currency is United States Dollars (USD). The statement should include the following:
 - a) Budget for approved items (USD).
 - b) Itemized expenditure (USD).
 - c) Remarks on under/over-expenditure as per end of funding period.
 - d) Leveraging funds/co-funding amount (if any).
2. Certified copies of original receipts and related accountability documents as evidence of expenditure must be submitted.

Appendix 1 f: End of Project Report Format

PART 1: TECHNICAL REPORT

1.0 General Information

The cover page should have:

- a) Project title, start and end year
- b) List of team members and their institutions of affiliation (include e-mail addresses)
- c) Date of report submission

1.1 The Executive Summary (1-2 pages)

This should include the geographical location of the project area, statement of the research problem, objectives, and methods used to collect and analyse data, key achievements visa-vis targets, challenges encountered and how they were addressed.

1.2 Introduction (1-2 pages) to include:

This should include short background information about the project, the research gap and why it was necessary to carry out the study as viewed against the work of previous scholars, the target population and beneficiaries.

1.3 Objectives (not more than 1 paragraph)

State the overall and specific objectives that you addressed in the project.

1.4 Hypotheses (not more than 1 paragraph)

State the hypotheses (if any) that were tested in the study.

1.4 Research questions (not more than 1 paragraph)

Summarize the questions that guided the study.

2.0 Materials and Methods (maximum of 1 page)

A brief description of study sites (provide location map where applicable) and materials used.

Study design, sampling technique (where applicable), sample size (where applicable) and method(s) used to collect and analyse data. The methods of

data collection and analysis should be consistent with the objectives and their choice for application in the study justified.

3.0 Results (5-6 pages)

Results should be written in a manner that is consistent with the objectives and methods that were used to collect and analyse the data.

4.0 Discussion (5-6 pages)

Interpret results in the context of the study, and indicate what they mean in relation to other findings as well as contributions towards development of products, services, processes and innovations. Scientific contributions/breakthroughs should be reported in this section. Shortcomings that could have affected the results should be discussed here.

5.0 Conclusions and recommendations (1-2 pages)

Draw conclusions from your study based on the objectives and major observations. The recommendations should focus on future studies and implications of your findings to inventions, innovations for development of manufacturing sector, processing sub sector.

6.0 Outputs, outcomes and impact (1 page)

Provide details of the major outputs, outcomes and impact of your project e.g. papers published, manuscripts submitted or accepted, theses completed, policy briefs produced, technology produced, innovations, products generated etc. Attach/submit copies of evidence.

7.0 Constraints/challenges, lessons learnt and the way forward (1-2 pages)

Summarize the key challenges or constraints that you encountered in the course of the study and how they were addressed or should be minimized in future. Provide a brief account of the lessons learnt in the research project implementation and management and areas for improvement.

8.0 Annexes

These should be additional information that may help to increase the understanding of your findings/report. Provide the work plan and indicate the level of achievement of each activity. You may attach list of participants in the various activities of your project (if necessary). Do not attach raw data.

PART 2: FINANCIAL REPORT (2-3 pages)

The reporting currency is United States Dollars (USD). The financial report should comprise:

1. A brief narrative of the amount of funds approved, when they were received, challenges encountered in accessing and spending the funds and how they were overcome.
1. A signed and stamped summary sheet/table (financial statement) indicating the following:
 - a). Approved items/activities (USD)
 - b). Expenditures incurred (USD)
 - c). Variances (USD)
 - d). Remarks on each approved item/activity as at end of funding period.
 - e). Funds leveraged/co-funding amount (if any) and the items/activity on which they were spent.

The financial statement/summary sheet should be signed and stamped by an authorized officer in the Finance/Accounts/Internal Audit office of the researchers' host institution and submitted to the PMO.

Appendix 1 g : Financial Accountability Format

Researcher Reference Code:

Name of Researcher:

Project Title:

| Item | Budget(\$) | Actual (\$) | Variance (\$) | Remarks (if any) |
|---------------------|-------------|-------------|---------------|------------------|
| | Expenditure | Expenditure | | |
| Expendable Supplies | | | x | |
| xxxxx | | | x | |
| xxxxx | | | x | |
| xxxxx | | | x | |
| Equipment | | | x | |
| Laptop | | | x | |
| Camera | | | x | |
| xxxxx | | | x | |
| Field Activities | | | x | |
| Field Site | | | x | |
| Preparation | | | x | |
| Etc | | | x | |
| | | | x | |
| | | | x | |
| | | | x | |
| | | | x | |
| | | | x | |
| | | | x | |
| Total | x | x | x | |

Exchange rate used:

Prepared by:

(Researcher)

Date:

Verified by:

(Finance Officer/Authorized Officer)

Date:

Institution Stamp

Appendix 1 h: Budget template

| Item/Activity | Unit cost | Quantity | Amount |
|--|-----------|----------|--------|
| Equipment (specify & describe each item) | | | |
| GPS | | | |
| Laptop | | | |
| Digital camera | | | |
| Fabricated equipment | | | |
| Other Equipment (specify) | | | |
| Subtotal | | | |
| Literature, Documentation, information | | | |
| Journal subscription | | | |
| Books | | | |
| Internet | | | |
| Stationery | | | |
| USB sticks | | | |
| Subtotal | | | |
| Consumables (specify) | | | |
| Reagents | | | |
| Lab coats | | | |
| Research tools | | | |
| Subtotal | | | |
| Inception/ Reconnaissance meeting | | | |
| Per diem | | | |
| Air ticket | | | |
| Mileage | | | |
| Motor vehicle hire | | | |
| Facilities hire | | | |
| Stationery | | | |
| Hire of workshop hall | | | |
| Subtotal | | | |
| Field survey expenses | | | |
| Research Permit | | | |
| Per diem | | | |
| Air ticket | | | |
| Mileage | | | |
| Transport hire | | | |
| Research Assistants | | | |
| Field Assistants | | | |
| Technical Assistants | | | |
| Sample collection | | | |

Hire of equipment
Stakeholders' meeting

Labour

Subtotal

Data collection

Per diem

Air ticket

Mileage

Motor vehicle hire

Research Assistants

Field Assistants

Technical Assistants

Sample collection

Hire of equipment

Stakeholders' costs

Labour

Subtotal

Dissemination

Per diem

Air ticket

Mileage costs

Motor vehicle hire

Facilities hire

Stationery

Venue hire

Stakeholders' costs

Subtotal

Data analysis and report production

Data entry and processing

Per diem

Air ticket

Mileage

Motor vehicle hire

Facilities hire

Stationery

Venue hire

Subtotal

Other costs (Specify)

Subtotal

Young researchers/graduate

students

Support to M.Sc. student(s)

Support to PhD student(s)

Subtotal

Administrative costs

Coordination fees

Communication

Subtotal

Total research costs

Institutional fees (5%)

GRAND TOTAL

Appendix 2: Research Grant Contract

Grant Reference No.
Agreement between..... and (researcher).....
and (Host institution).....

The parties to this Agreement are:

- A. East African Science and Technology Commission (EASTECO)
Secretariat Queen’s Land House, 5th Floor,
KG 563 St, Kacyiru, KIGALI – RWANDA
Email: easteco@eachq.org
Tel: (+250)-788 310 402 | (+250)-788 165 200
- B. The researchername of
researcher, institution and address)
- C. The Host Institution
(name and address).

1.0 Preamble

East African Science and Technology Commission (EASTECO) is mandated to promote and coordinate the development, management and application of Science and Technology in the Partner States of the East African Community (EAC). The Commission develops and implement common science and technology policies, programmes and projects in priority areas including collaborative research, technology development, innovation development and human resources development. The aim is to support sustainable production of goods and services and to enhance economic competitiveness of the region. The commission established a regional research and innovation fund known as East African Research Fund (EARF) to support research and development (R&D). The commission is committed to ensuring that regional research and development projects are efficient and effective, and that project and programs achieve their intended outputs, outcomes and impact through:

- (i). Generation of reliable data and information, innovations, products and services;
- (ii). Sharing the research results to support development of evidence-based policies, and translation to commercial products and services for increased socioeconomic development.

- a) The researcher undertakes to collaborate with EASTECO to achieve the above stated objectives.
- b) The host institution agrees to provide administrative support and research time researchers to implement project funded under this agreement.

Following the call for proposals made in ...(year of call), your team consisting (names of researchers, their host institutions and addresses) submitted a proposal titled (put the research title) which upon peer review was passed and has been funded to the tune of USD (total project amount) for a period of one year commencing ... (date of commencement dd/mm/yy). You have been allocated USD (amount) including administration fee of USD (amount) based on the agreed activities you will undertake.

2.0 Definitions

Agreement Parties means The East African Science and Technology Commission (EASTECO), the researcher and the host institution.

Host Institution means Any University or Higher Educational Institution in one of the East African Community Partner States party to the Treaty as amended setting up the East African Community (EAC), or Research Institute/Organization or government department/agency, or industry in East Africa.

Principal Investigator means the team leader (designated as such by the researchers) of the researchers awarded funding under this agreement.

Researcher means: member of a university Faculty/School/Department, or employee of a Research Institute/Organization or government department/agency or industry whose proposal has been awarded funding support under this agreement.

Research Guidelines means the rules, regulations, prescribed forms and reporting guidelines for grants made under this agreement as published in any form by EASTECO from time to time.

PMO means: The secretariat established to administer the grant and administer all matters concerning implementation of the initiative including administering grants, using agreed rules, regulations, systems and processes.

3.0 Description and Scope of the Agreement

- a). This agreement covers all aspects of the implementation of the activities as articulated in the proposal approved by the RDAC during its meeting of (date dd/mm/yy).

- b). The agreement is between EASTECO and you, (name of researcher), who will undertake the approved research activities, and (name of host institution) which will provide administrative support and research time for the activities in the approved proposal funded under this agreement.

4.0 EASTECO Obligations

EASTECO shall:

- a). provide professional and administrative support and the sum of USD (amount) disbursed to you through the host institution, ... (name of host institution) as per the approved budget.
- b). Provide professional support through seminars and sponsorship to international conferences/ workshops to disseminate EASTECO research findings.
- c). Receive end of year technical and financial reports from researcher(s) through the host institution and the Principal Investigator (PI).
- d). Receive end of project technical report at the end of the research period through the PI's host institution.
- e). Disseminate research findings and results to stakeholders in and outside East Africa.

5.0 Researcher and Host Institution Obligations

Utilization of funds

- a). Each researcher and the host institution he/she is working for is responsible for his/her own accounting, and that financial accounts and record are maintained in accordance with the procedures of the host institution and EASTECO Research Guidelines. The funds will be paid into an account specified by the Principal Investigator.
- b). The researcher and the host institution shall keep accurate and systematic records and accounts in respect of services rendered pursuant to this contract, which clearly identifies all charges and expenses in the project. All expenditures of the project should be accompanied by written evidence.
- c). Major reallocation in the project budget (more than $\pm 30\%$ on each budget item) shall be agreed upon, in advance, in writing and with explicit reference to this clause in the contract.
- d). If after meeting the expenditures in the project, there are unutilized funds under this contract, the researcher/host institution shall repay such funds to EASTECO.

- e). In the event of the researcher's non-compliance or partial compliance with the terms of this contract, he/she shall repay to EASTECO amounts for activities that have not been performed by the researcher to the standard considered acceptable to EASTECO. In the event the researcher cannot comply with this obligation, the host institution shall cover the repayment instead.

In addition, the researcher – inter alia, shall:

- (i). Submit work plan, budget and disbursement schedule for the research activity to be undertaken.
- (ii). Carry out approved research activities according to the work plan and budget, and share roles and cooperate with other members of the research team.
- (iii). Participate in the production of end of year project technical report.
- (iv). Submit end of year project technical report no later than 30 days before expiry of the first anniversary of disbursement of funds under this contract and subsequent years thereafter on renewal of the contract (this provision is only applicable to the PI).
- (v). Participate in the production of end of project technical report.
- (vi). Submit end of project technical report within 30 days of expiry of the project contract (this provision is only applicable to the PI).
- (vii). Effectively keep field records, laboratory data and any useful information on the project and ensuring that the same is timely shared with the team members and stakeholders.
- (viii). Attend all scheduled and agreed project planning and implementation meetings, as well as upon request, general EASTECO meetings.
- (ix). Submit timely progress reports as may be required by the PMO from time to time.
- (x). Regularly communicate and exchange information with the stakeholders, the PI, PMO and the team members for effective implementation of approved activities.
- (xi). Disseminate research findings to the local community (where applicable) and other stakeholders and ensure publication of research results in peer reviewed journals.
- (xii). Submit to PMO copies of all publications arising out of EASTECO supported projects.
- (xiii). Notify PMO immediately of any material change that may affect performance of this contract (including change of job and station).
- (xiv). Ensure timely accountability of all funds in accordance with the procedures and guidelines of EASTECO and the host institution.

In addition, the host institution shall,

- b. Submit annual financial report (not later than 14 days from the date of the first anniversary of the disbursement of funds) as prescribed in the EASTECOs' Research Guidelines.
- c. Notify PMO no later than 90 days of the occurrence of any material change that may affect performance of this contract (including change of job and station).

6.0 Duration of Agreement and Revision

- a). The duration of this project shall be months. Start date: ... (date dd/mm/yy), end date: ... (date dd/mm/yy). This contract shall be subject to annual renewal upon satisfactory progress under the research project and fulfilment of other obligations under this contract.
- b). Any amendment to this contract shall be effected only based on written mutual concerns by the parties.
- c). Should circumstances arise inducing the team to make major adjustments to its activities or if the team decides to make any important deviation from the approved plan, the team must obtain PMO written approval before implementing such changes.
- d). All funds payable under this contract shall be utilized within the contractual period as prescribed in the research proposal. Any unutilized funds upon expiry of this contract shall be returned to EASTECO by the host institution within 60 days after expiry or termination of this contract. The PMO may reclaim the disbursed amount, wholly or in part, from the host institution if circumstances arise that put the validity of the research team into question, or substantial deviation from presented plans in the approved proposal has occurred.

7.0 Procurement and Ownership of Materials and Equipment

- a). Procurement of goods, works and services shall be performed in accordance with principles, procurement practices and laws of the host institution's country.
- b). All materials and equipment (excluding laptops and other personal computers) purchased for the project shall be the property of the host institution at the end of the project.

8.0 Review, Monitoring and Evaluation

- a). The technical reports shall be subjected to external review and researchers shall respond to the reviewers' comments within 14 days.
- b). Monitoring and evaluation exercise shall include but not limited to electronic and field visits at least once a year. Prior to the field visits the researcher shall prepare progress report to guide the monitoring and evaluation team.
- c). The researcher shall be expected to participate in the monitoring and evaluation exercise.

9.0 Disbursement and Audit

- a). The approved USD (amount) shall be disbursed to (name of host institution) account upon submission of a signed copy of this contract and a formal disbursement request form.
- b). (name of host institution) shall disburse the funds to the researcher based on approved activities, work plan and disbursement schedule. Subsequent release of funds shall depend on the approval and acceptance of expenditure of the previous disbursement.
- c). Payment of the final disbursement will be reduced by 5% which amount will be disbursed upon receipt and approval of a final technical and detailed financial report (accompanied by certified copies of receipts and related documents).

10.0 Intellectual Property Rights

- a). Project results and findings shall be freely published and distributed. Due credit and recognition shall be given development partners and EASTECO.
- b). EASTECO shall have the right to exhibit, copy and distribute in a suitable form prototypes, any reports and publications which have been submitted by the researcher or research team as part of information dissemination.
- c). As regards patents and know-how, the participating institutions and researchers cooperating in the research project shall have access to all results and know-how obtained within the collaborative project mentioned in this Agreement. Each party that has participated in the cooperation shall have the right to the patent in their own name and at their own expense.
- d). The registration fees for the patent in Burundi, Kenya, Rwanda, Tanzania, South Sudan and Uganda shall be divided equally between the participating institutions. The participating institutions shall decide

- whether or not the patent is to be registered in a third country.
- e). Should EASTECO choose not to exercise its right to apply for a patent, the other institutions are to be given the option to do so in their own name and at their own expenses.
 - f). The participating institutions shall have a right to equal shares of the revenue derived from grant of user license(s) to third parties if the patent is registered by mutual agreement. The grant of user licenses and patent(s) shall be determined in each case and by mutual agreement between the participating institutions provided participating institutions agree in delegating such a task to one party.

11.0 Penalties

Researcher shall be warned in writing if he/she:

- a). Refuses to cooperate with other team members such as withholding results that should be shared with others.
- b). Fails to meet the monitoring and evaluation team without satisfactory explanation.
- c). Fails to participate in research meetings and workshops.
- d). Fails to complete research tasks assigned by the team.
- e). Publishes results in exclusion of team members who participated in the research.

This contract shall be terminated if a researcher receives two (2) warning letters citing any of the infractions above.

12.0 Termination

- a). This agreement shall remain valid until the end of the project period, unless terminated earlier by three months' written notice by EASTECO, the Host Institution or the Researcher.
- b). In the event of serious breach of the agreement or death of researcher, PMO may terminate this Agreement with immediate effect and may demand refund, wholly or in part, of the disbursed funds, from the host institution. Other actions giving rise to termination of this agreement will include:
 - (i). Plagiarism.

- (ii). Lack of satisfactory progress demonstrated within one year.
- (iii). Recycling completed research.
- (iv). Researcher misappropriating funds.
- (v). Host institution misappropriating funds.
- (vi). Researcher colluding with host institution to misappropriate research funds.

In the event of the occurrence of (iii) to (vi) above, EASTECO may reclaim whole or part of the disbursed funds.

- c). In case of change of job and or station, the host institution shall terminate further disbursement of funds to the researcher until a new arrangement is concluded as stipulated in the research guidelines.

13.0 Ethics

Researchers conducting studies on human health and anthropology shall be required to provide the necessary clearance certificates from appropriate national bodies before undertaking studies.

14.0 Liability

The EASTECO assumes no responsibility in the event of sickness, accident, death or disability of the researcher nor does it arrange for insurance of the researcher or reimburse premiums paid thereof.

15.0 Applicable Law and Arbitration

Any dispute, controversy or claim arising out of or in connection with this contract that cannot be settled amicably shall be settled by arbitration in accordance with the laws of the Partner State concerned.

An arbitrator shall be appointed and the place of arbitration shall be the capital city of the Partner State concerned. The language used in the arbitration proceeding shall be English.

16.0 Acceptance

To acknowledge acceptance of the terms and conditions of this contract sign four originals in the space below and return two originals to EASTECO, one of which shall be deposited by the PMO.

1. EASTECO

.....
Signature Place Date

.....
(Name)

Executive Secretary

2. Researcher

.....
Signature Place Date

.....
(Name)

3. Host institution

.....
Signature Place Date

.....
(Name)

Stamp of host institution:



EASTECO Secretariat

Queen's Land House, 5th Floor,
KG 563 St, Kacyiru, KIGALI – RWANDA

Email: easteco@eachq.org

Tel: (+250)-788 310 402 | (+250)-788 165 200

EASTECO Publication N0: 003 January 2022