

Eligibility of CGS Proposals

Sub-projects identified for funding under the NAIP are in two distinct categories: the Sponsored and Competitive.

Sponsored Category

Under this category, proposals will not be invited but the sub-projects will be sponsored to the identified institutions.

All sub-projects in Component-1 will be sponsored. About 50% of the sub-projects under the Component-3 will also be sponsored.

In the case of Component 1, all the activities are oriented towards the development of the capacity of the NARS to be able to respond to the fast changing requirements of research, technology development and dissemination in a scenario of globalized agriculture. The activities and the sub-projects have already been identified and will have to be executed by experienced and able teams who belong to and are familiar with the system. The ICAR, its institutes and the SAUs with emphasis on the later will be involved.

The objectives of the sponsored programmes in the Component 3 are two-fold. First, the NARS has certain identified high priority areas of research for certain locations and problems, which must be addressed with urgency. Leaving them to response through competition may not meet the urgency. These projects have to be sponsored. Secondly, certain identified backward areas may not be represented by the responses to the calls under the competitive programmes because of non-realization of the importance or non-existence of business interests and/ or non-existence of research capacity in those areas. In such cases to fill up critical gaps research in those areas will also be supported by sponsored programmes. The sponsored programmes in the first category can be taken up under the leadership of SAUs first, because of the location-specific nature of the programmes and secondly for creating awareness and capacity in the SAUs for responding to competitive calls. The sponsored programmes under Component 3 can also work in a limited competitive mode where, for an identified research area a certain number of potentially capable institutions are identified and requested to come forward with proposals and partners. From that point onwards, the rest of the process is the same as for the competitive component.

These sponsored projects can be initiated almost as soon as the NAIP becomes effective and before the NAIP ahead with the calls for the Competitive Grant Scheme, which are the major component. The sponsored projects will also generate experience and allow learning processes with regard to working in a consortium mode. The sponsored programmes except for the selection of the problem and the partners will generally follow all the guidelines, rules and procedures of NAIP. In case of deviations, they will be clearly specified in the sanction letters.

In exceptional cases, the RPC may also invite proposals from identified stakeholders under BSR and PCS. but such exceptions should be fully justified and should be approved by the component authority.

Competitive Category

Under this category, sub-projects may be in the following components:

- Production to Consumption Systems.
- Sustainable Rural Livelihood Security (partly).
- Basic and Strategic Research in Frontier Areas of Agricultural Sciences.

Objectives of the Competitive Grant Scheme

The CGS will be one of the tools to ensure accelerated reform and transformation of the agricultural research system under NAIP; in addition to supporting priority research, the CGS is also designed to build local capacity to compete for other national and international grants, and improve flexibility and efficiency in research financing. Broad areas for CGS financed research projects will be identified by the ICAR in consultation with the major stakeholders.

The CGS is directed to applied research projects that are high priority and demand-driven, with clearly defined beneficiaries of the research results. Applied research relates to the generation and/or identification of new technologies that have potential for short or medium term impact on agricultural productivity, profitability and/or sustainability; it includes the entire production to consumption chain (production, processing, value addition, marketing, etc.) as well as aspects of policy, extension dissemination and/or up-scaling. The CGS is open to all qualified research providers in the public and private sector, as well as to universities, NGOs, private industry, and agricultural producers and agro-processor associations, which are all encouraged to apply for CGS funding.

Some of the important objectives of the CGS are to:

- Respond to the needs of agricultural producers, agro-processors, agro-industry and market operators, as well as to clearly articulated priority problems in the field.
- Encourage the introduction of modern techniques and ideas into research where the application of these techniques has clear and significant advantageous results for the clients and beneficiaries.
- Raise the standards and effectiveness of research and extension, through competition and collaboration, and improve the dissemination of scientific and technical information.
- Facilitate the accelerated development and dissemination of relevant knowledge and technologies.
- Build close relationships among research scientists and clients such as private agricultural producers and agro-processors resulting in a more efficient and demand-driven system in which research is performed based on real needs expressed by its potential clients.
- Develop cooperation between researchers and potential clients involving a range of participants from research institutions, universities, private industry, agricultural producers and agro-processor associations.

- Support an efficient commercial agriculture, adapted to the agricultural producers' and agro-processors' needs.

To effectively address these objectives, the CGS comprises unique features such as:

- Partnerships between public institutions, the private sector and donors.
- Transparency of organization and management with predefined rules for operation.
- Accountability at all levels, with high quality technical assessment for projects and a sound analysis and approval mechanism.
- Efficiency through the ability to mobilize the entire national research capacity.
- Effectiveness through focusing on high priority issues addressed by a cohesive portfolio of projects, using the best available expertise.
- Sound M&E systems being established.

Eligibility of Lead and Partner Institutions

It is proposed to implement component 2, 3 & 4 (partly) under the Consortium approach. Generally, only consortia are eligible to compete for funds except in Component 4 where individual institutions, networks or consortia are eligible.

Consortium: A Consortium is a formal group of like-minded partners that will carry on a given task by sharing the research agenda and research resources according to an agreed work plan. The success of the consortium depends on the active involvement of all the major players involved in its field of agri-business and a harmonious coordination among the members with a high degree of transparency. The consortium should be need-based and accordingly the partners should be identified to manage the task. The identification of the partners for the consortium will be dependent on the target groups, socio-economic background of farmers and participants in the value chain, available infrastructure facilities and the current problems that they are working on. The potential core consortium activities are identified as but not limited to:

- **Diagnosis:** determining livelihood and value-addition activities among the target beneficiaries.
- Development of production technologies, e.g., dry-land agricultural practices, IPM, IPNM, horticulture, livestock, fisheries technologies, etc. (components 2 and 3) and the development of scientific methodologies and new knowledge at the frontiers of science (component 4).
- Technological empowerment and transfer of proven (appropriate) local agricultural technologies.
- Research on natural resource management: improving water, land and forest management systems, and generating participatory models of resource management.
- R&D of agricultural processing, storage and marketing, e.g., to generate rural employment.
- Research on nutrition and health to improve welfare and human development possibilities.

- Contributing to the build-up of social capital by organizing farmers in order to obtain feedback on research programmes and in order to disseminate results.
- Pilot-scale commercialization of innovations generated and tested by the consortium.
- Participation and support to full-scale commercialization and dissemination of innovations.
- A large array of knowledge management activities to share results of the consortium with the target beneficiaries, the scientific community and the public at large.
- Implementing training programmes for consortium members and for selected target beneficiaries or their representatives.

Consortium Partners

The list below is neither an exclusive nor a compulsory list of consortium partners, but indicates the range of partners that may be engaged in a consortium.

Research Institutes From In and Outside the ICAR System: The role of the R&D institutes will be to identify technologies for value addition in production or post-harvest activities, conservation and efficient use of natural resources, reduction of the cost of production and enhancement of yields, sustainability, household food security and profit. International research institutes and research organizations from other countries may also participate in the consortia. They may also become CL, PI or Co-PI if they have signed an MOU and follow all codal procedures.

Farmers & Farmers' Organizations: Farmers will be strongly involved in the governance and orientation of the consortia. Most production-related and primary agro-processing related research would be done on-farm. Farmer organizations will also be involved in training and knowledge sharing activities. Some of the consortium partners representing important farmer's organizations viz., Panchayat Raj Institutions, National Farmers Forum, IFFCO etc. would be expected to participate.

Private Enterprises and Associations & Federations of Private Enterprises: These will be strongly involved in the governance and orientation of the consortia and will participate in the development and commercialization of innovations in the fields of input supply and distribution, processing of agricultural commodities and marketing, and possibly contract farming. Private research organizations will be involved in technology generation.

State Development & Extension Departments: Many line departments are engaged in supporting agriculture directly or indirectly. They will be members of a consortium on a needs basis, principally to develop and support the transfer of technologies and promotion of innovative agriculture development, but also to facilitate and participate in on-farm research or in processing and marketing experiments. Their participation also contributes to ownership and sustainability after the sub-project period.

Financial Institutes: The role of the financial institutions is to assess the financial needs and develop efficient lending products for supporting the investments required to implement innovations. Apart from developing financial strategies, these institutes can also develop suitable instruments for providing insurance against crop failures, calamities and personal accidents and health.

Voluntary Organizations & NGOs: Many voluntary organizations and NGOs are engaged in natural resource management at the grass-root level, principally by motivating farmers, creating awareness, establishing linkages with information centers and marketing outlets, supplying micro-finance, promoting micro-enterprises and establishing linkages with the various government schemes. They may be facilitators for transfer of technology and linkages with various members of the consortia as well as the development departments. Simultaneously, voluntary organizations can also be entrusted with the responsibility of organizing the weaker sections of the society to form self-help groups, their federations and various other user groups to make best use of the technologies and resources, made available by the consortium. However, there are a number of NGOs whose credentials are yet to be established. The NAIP will follow the approved criteria for providing funds to NGOs (see Appendix 6 for details).

Eligibility of Consortium Leaders/ Principal Investigators and Consortium Co-PI

Under the NAIP, a blend of top-down and bottom-up approaches will be used. The Project should be driven bottom-up but facilitated top-down. The civil service societies could be sources of social and logistic pressure. In order to have effective delivery of rural services and development of local institutional arrangements, the District Magistrate, Banks and Insurance departments may also be one of the CPs. Staff of the CGIAR Institutes and other ARIs etc may also become CL, PI or Co-PI if their organizations have signed an MOU and follow all codal procedures. The project particularly Component-3 may enable rural men and women especially the poor to improve their livelihood security through agricultural and allied sector-based activities, including land and water management. It is to be ensured that the partners have no earlier encumbrance with the Council in view of earlier projects.

Consortium Leader (CL)/ Principal Investigator (PI)

The CL would be the key official at the Consortium Level. Subject to conforming to the guidelines, a CL can be from public, private, NGO or Civil Society Organizations. He/she would finalize fund requirements for various consortium partners. The planning, programming and coordination would be done in advance for each partner with feedback to the PIU. He/she would also coordinate periodical progress as half yearly, yearly, mid-term and final reports. He/she would also undertake mid-course corrections (if any) re-orientation, or up-gradation of technology in collaboration of Project Partners. He/ she is also responsible for supervision of logistic support, local procurements, creation of infrastructure and day-to-day work schedules of the research sub-project. The head of the institution may, therefore, be a more effective CL of the sub-project with delegated powers. The role of CL would include:

- Oversee implementation of programme components and provide intellectual leadership.
- Manage relationship, conflicts, disputes among the Members of the Consortium.
- Report to the PIU.
- Compile with WB Fiduciary Requirements (Procurement, Financial Management).
- Responsible for communication and awareness, knowledge management and dissemination.
- Provide intellectual leadership.
- Adopt e-reporting
- Develop and Maintain PMS.

Note: In case, where the CL and PI are not same, the Head of the lead institution should be the CL and the PI of the lead institution should be the executor of the sub-project as delegated to him by the CL.

Consortium Co-Investigator (CCI)

The CCIs refer to those members directly involved in the design and implementation of the shared sub-project. These partners may be researchers, extension workers, staff of Government departments, Insurance agencies, NGOs, farmers' organization and others representing industry. These partners will be directly responsible for the planning, organizing, monitoring of daily project activities in close cooperation with and under the guidance of the CL. The CCI will establish a dynamic relationship between various stakeholders viz. Public, Private, NGOs, extension workers, women groups and farmers for successful implementation of the sub-project. He/ she may also oversee that linkages are strengthened between:

- Service providers.
- Input providers.
- Information providers.
- Credit providers.
- Insurance providers.

The role of CCI would include:

- Implementation of Specific Programme Components
- Manage relationship among the concerned members of the Consortium.
- Help with conflict resolution.
- Report to the CL/ PI and the PIU (e.g. in Financial and Technical matters)
- Compile with WB Fiduciary Requirements (Procurement, Financial Management).
- Responsible for knowledge management and dissemination in his/her component.
- Provide intellectual leadership in his/her component,
- Adopt e-reporting.
- Develop and maintain communication and awareness plan and MIS within his/ her Component.

ME in Consortia

A Consortium Monitoring Unit Project M&E Entity (CMU/ PME Cell) will be established in each funded consortium. It may consist of a multi-disciplinary unit with a nodal officer (preferably a social scientist). The CMU will report to the the CL and the CAC. The CMU will develop an on-line Project Monitoring Tracking System (PMTS). For details of the CMU, its responsibilities, etc.