

WORLD HEALTH ORGANIZATION
REGIONAL OFFICE FOR SOUTH-EAST ASIA



ORGANISATION MONDIALE DE LA SANTE
BUREAU REGIONAL DE L'ASIE DU SUD-EST

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11 July 2003

INFORMATION BOOK FOR
RESEARCH GRANT APPLICATION
SOUTH-EAST ASIA REGIONAL OFFICE
NEW DELHI, 2001

THIS INFORMATION BOOK DEALS BRIEFLY WITH THE MANNER IN WHICH THE SOUTH-EAST ASIA REGIONAL OFFICE OF THE WORLD HEALTH ORGANIZATION PROMOTES AND SUPPORTS RESEARCH IN THE FIELD OF HEALTH. IT ALSO DESCRIBES IN DETAIL THE MANNER IN WHICH A RESEARCH APPLICATION SHOULD BE SUBMITTED FOR CONSIDERATION BY THE SOUTH-EAST ASIA REGIONAL OFFICE WITH A VIEW TO OBTAINING FINANCIAL SUPPORT AS AVAILABLE:

READ AND FOLLOW THE INSTRUCTIONS CAREFULLY. THIS WILL FACILITATE CONSIDERATION OF YOUR APPLICATION AND PREVENT DELAYS AND MISUNDERSTANDINGS IN THE PROCESSING YOUR APPLICATION

FOREWARD

The promotion and development of research activities and strengthening of the research capability of the Member Countries are major objectives of the WHO South-East Asia Regional Research Programme, and the research grants which the regional Office awards from funds set aside for this purpose are the important means for achieving these twin objectives. This information Book has been published with a view to facilitating scientists in countries to obtain and make use of these research grants. It includes a section on the criteria adopted by the grants. It includes a section on the criteria adopted by the research scientists in the Region on the need for undertaking research which is socially relevant and directed towards solving health problems which are of priority concern to the people in the Region. Such research is essential if Member Countries and WHO are to achieve the universal goal of Health for All by the Year 2000 with primary health care as the key approach.

The guidelines contained in this Information Book have been prepared especially with the younger scientists in mind and with due consideration to the conditions under which research work has to be undertaken in developing countries.

It is hoped that the detailed instructions given in this Information Book assist all scientist in general and the younger scientists in particular to develop research proposals which are relevant to the identified priority areas, and are of high quality enabling valid conclusions to be reached in answer to clearly formulated questions, and which will produce results that are utilizable for health related activities in countries.

Section – 1

THE DEVELOPMENT OF THE PROGRAMME ON RESEARCH PROMOTION AND DEVELOPMENT OF THE WHO SOUTH-EAST ASIA REGION

In pursuance of the relevant Resolution of the World Health Assembly (WHA) calling for greater involvement of the Regional Office and Regional Committee. In the promotion of research, the Regional Committee for South-East Asia (SEA) took up the subject of Biomedical research for consideration at its 28th session in August 1975.

It endorsed the need for the promotion and development of a regional research programme and welcomed the suggestions for the establishment of an Advisory Committee on Medical Research for the South-East Asia Region (SEA/ACHR). It also resolved that the research in the region should be purposeful and based on carefully selected priority areas in the context of the needs of the Member Countries.

In conformity with the advice of the Regional Committee, the South-East Asia Advisory Committee on Medical Research (SEA/ACHR) was established in January 1976 to advise the Regional Director on the development of the Regional Research programme.

The SEA/ACHR at its first meeting defined the following major objectives of the Regional research programme.

1. Strengthen national research capabilities.
2. Promote and coordinate research on regional priority problems related to social and economic development not adequately covered by national and other efforts.
3. Promote research designed to facilitate the rapid application of existing and emerging scientific knowledge.

The SEA/ACHR also defined the criteria for identification of research priorities; Based on these they identified specific regional research priorities.

These research priorities were communicable diseases (malaria, leprosy, tuberculosis, filariasis, dengue haemorrhagic fever, diarrheal diseases including cholera and schistosomiasis), nutrition, control of human fertility, environmental health, health services research, and liver diseases including primary liver cancer. In accordance with subsequent resolution of the SEA Regional Committee research on traditional medicine was also included.

Following the Declaration of Alma Ata, calling Health for All by the Year 2000 with Primary Health Care as the key approach and the relevant resolutions of the governing bodies of the WHO, the Regional Office promoted the development of national and Regional strategies for Health for All by the Year 2000 with Primary Health Care as a Key approach.

The Regional Office, with the guidance of SEA Advisory Committee on Medical Research, reviewed the priorities and direction for supporting research. It will follow two general guiding principles and six specific criteria as a basis for screening all research activities prior to assessing their technical excellence and administrative aspects. The two general principles are that:

- all supported research must have the widest possible research to the population, particularly the weaker sections, and have potential for producing the greatest impact on the total health system.
- the research must yield solutions to priority national development problems within the shortest possible time.

The specific criteria are that such research should be –

1. related generally to the integrated basic minimum primary health care package of inter-linked elements and supporting activities or to specific components of it, which are designed to improve essential health care;
 2. designed to adopt or adapt existing technologies, including traditional systems, and to generate new knowledge where necessary, In areas of direct primary health care relevance such that they become appropriate for the socio-cultural and economic background of the problem; *
 3. concerned with the socio-cultural and economic background of health problems in order, on the one hand to enhance the understand of these problems by planner, health decision-makers, specialists, administrators, etc. and on the other hand to promote measures that will help people to change their life-styles in ways conducive to improved health and a better quality of life;
 4. designed to promote the level of community participation leading to greater self-reliance in health on the part of people;
- *
5. designed to improve the managerial capabilities of all levels and institutions of the health system including the community and family.
 6. designed to support the attainment of the goal of HFA by the Year 2000 and to solve problems of PHC concern through Inter-disciplinary collaboration and multisectoral coordination within a country's overall development effort. The various sector-centred development efforts must be coordinated and care must be taken to anticipate the negative health efforts of development in other sectors (e.g. agriculture and industry).

The essential interlinked elements and supporting activities constituting Primary Health Care (PHC) package are indicated below:

Essential Interlinked elements:

1. Education concerning prevailing health problems and the methods of preventing and controlling them
2. Promotion of food supply and proper nutrition
3. Provision of an adequate supply of safe water and basic sanitation
4. Maternal and Child Health Care including family planning
5. Immunization against the major infectious diseases
6. Prevention and control of locally endemic diseases
7. Appropriate treatment of common disease and injuries
8. Provision of essential drugs.

Seven Supporting Activities:

1. Involvement of people and community participation
2. Involvement of managerial process
3. Development of appropriate technology for health
4. Research
5. Manpower development

* At a Working Group meeting convened by the WHO/SEAR to discuss and report on the "Implications to Member Countries of the varying emphasis given to various types of research, including basic research", held in Bali, Indonesia from 9 to 13 August 1982, it was recommended that basic research of direct relevance to PHC should be understood to mean, basic research which is incorporated as an integral component of a research programme directly relevant to solving priority health problems and contributing to the attainment of HFA/2000.

6. Development of mobilization of financial resources
7. Intra and inter-sector collaboration.

The above principles and criteria will ensure that research efforts are focussed on support to HFA/PHC goals. They will also be used as a screening device for establishing the relevance of all research activities including promotional activities, institutional strengthening, training, and support of research proposals.

Regional office promotes and welcomes investigator originated research proposals in all the priority research proposals in a given priority area considered essential for overall strategy for HFA/2000, Regional Office may commission research projects in these areas which may be individual projects or multi-centre collaborative studies.

The main thrust of activities for strengthening of the research capability of institutions on Health Systems Research will be for research management and for the software component of research infrastructures and for information systems. A significant portion of resources for Research and Development will be allocated for directly strengthening of the research capability of institutions

SECTION – 2

REVIEW AND EVALUATION OF APPLICATIONS FOR RESEARCH GRANTS

A prospective researcher in a Member country may submit a full proposal for a research grant or submit a "Pre-Proposal" of the planned research project. (See section -4)

The full proposal will pass through the review mechanism established by the Regional Office, which will assess its relevance to the priority research areas of IIFA/PHC, the scientific merit, ethical and financial aspects.

It should be noted that the primary aim of awarding a research grant is to help the principal investigator and institution in achieving the stated research objective. While realizing that receipt of a research grant may also strengthen the general capability of an institution to conduct research, this is not considered as the overriding criteria in considering support the research proposal.

Proposals for strengthening the capability of the institution to undertake research, or to strengthen the capability of an institution to undertake health care (in contradistinction to a research proposal for a specific research project) will be dealt with by different mechanisms using criteria developed specifically for such purposes.

The review mechanism consists of Research Review Committee, Peer Review, and the Research Development committee. Project costing upto UA\$10,000 are scrutinized by the Research Review Committee while those costing over US\$10,000 are also reviewed by outside peer scientists and the Research Development committee.

The Regional Director will make a decision regarding the support to be provided based on the recommendation of the review mechanism above.

Projects that are relevant and have scientific merit and are financially and administratively feasible will be supported. Those that are relevant and with some modification will become technically sound will be reconsidered if the principal investigator makes the necessary revisions as suggested by the Regional Office or peer scientists. Those that are not relevant or have major defects in formulation of objectives and in methodologies will be rejected.

Pre-proposals submitted with the intent of getting a preliminary feedback from the Regional Office Regarding relevance and technical soundness will not pass through the full review mechanisms but will be returned to the principal investigator after appraisal by the concerned technical unit of SEARO. The Principal Investigator may in his/her discretion then either submit or not submit a full proposal to SEARO.

While Investigator-originated research proposals will be processed in the foregoing manner, commissioned research projects (usually multicentre, collaborative studies) which originate from meeting of scientists convened by SEARO or by the Technical Units of SEARO will be dealt with differently. Protocols for such projects would already have been developed by experts or by the technical units concerned and would already have passed through a review mechanism.

Research proposal submitted by Principal Investigators from Institutions and countries where the collaborative research project has been advocated by the Regional office will have to be prepared in the usual format (See Section-4). When received at the Regional Office they will be reviewed to see whether they conform to the essential of the protocols already developed and advocated, and will be supported if they do.

SECTION – 3

ADMINISTRATIVE ASPECTS OF THE RESEARCH GRANT

Approved projects are funded through a Technical Services Agreement [TSA], (WHO Form 362.1 and 362.2) between the WHO and the Institution responsible for the project. A Facsimile of forms 362.1 and 362.2 are shown in Annexure 1.

The Agreement (Form 362.1) is the Instrument by which the WHO agrees to provide the funds to a given Institution for a stated period in respect of medical research or other technical services. It gives details of the financial arrangement. For a specific period indicating the amount that will be remitted to the institution and/or the sums which might be kept by WHO for the purchase of equipment and supplies to be ordered by the Institution through WHO.

Form 362.2 describes the summary of the research or technical services to be rendered under the Agreement. It indicates the contribution of the Institution and/or other sources to the project in terms of staff, equipment and supplies. This form is signed by the responsible WHO Technical Officer and Principal Investigator or Technical Officer for the project and the responsible Administrative Authority on behalf of the Institute.

On the reverse side of the Forms 362.1 and 362.2 are given the general conditions which govern the Agreement between WHO and the Institution with respect to the responsibilities of the Principal Investigator and the Institution, financial arrangement, equipment and supplies, reports, relationships between parties, use of results, exploitation of rights and involving the use of laboratory animals, research safety, publicity, and choice of law and settlement of disputes. These conditions should be read by the Principal Investigator and the responsible Administrative Authority of the Institution who will sign the Agreement.

Funding is usually on a yearly basis. Project requiring funding for over one year may be recommended for support subject to the availability of funds and submission of a satisfactory progress report and financial statement to SEARO.

REPORTS

Progress Reports:

Projects indicating progress made in the study should be prepared by the Principal Investigator according to format given in Annexe 3 and forwarded through the Head of the Institution at least annually or as required.

The progress Report should provide a clear and brief account of the progress in relation to planned schedule during the reporting period. Any results available should be presented concisely and related to the research objectives.

Any significant changes in research objectives or in the planned schedule should be stated and the reasons why such changes became necessary should be indicated.

Any major problems encountered (administrative and/or technical) in implementing the research according to plan should be indicated together with the principal investigator's and Institution's plans. For overcoming these problems. Continuation of support may be withheld if progress report are not received by SEARO annually in time.

Final Report

A final report must be prepared by the Principal Investigator and submitted to WHO/SEARO through the head of the Institution on completion of the study using the format given in Annex 4.

This report should include a summary of the research objectives and methods, the results, and a discussion of the results in relation to the objectives and methods used. Any deviation from the

original objectives should be indicated and the reasons stated. The applicability of the results for health care should be briefly described.

Financial Statements:

Financial statements in the format given in Annex 2 should be sent along with the annual and final reports and must be certified by the relevant financial authority. Continuation of support may be withheld if financial statements are not received by WHO/SEARO annually in time.

SECTION – 4

Guidelines for preparation of an application for a research grant.

1. The investigator may, if he/she wishes, submit a pre-proposal for the proposed study (see section 2 Part 1) in order to obtain preliminary feed back from SEARO before writing a full proposal. There are no prescribed forms for the pre-proposal, which should be limited to one typewritten page stating the objectives and rationale and methodology of the proposed research.
2. All applications for supporting of research projects must be in prescribed forms, which are available on the request from the Regional Office and/or from the Office of the WHO Representative in the country.
3. The completed application forms or the pre-proposal should be addressed to:

The Regional Director
(Attention: Director, Research & Family Health)
World Health Organization
Regional Office for South-East Asia
Indraprastha Estate
New Delhi – 110 002

INDIA

4. In countries where national approval is required, the Principal Investigator and the Institution are responsible for obtaining the necessary clearance and approval of the project by the concerned national authorities prior to submission of the full proposal to the World Organization through the WHO Representative.

Such approval must be recorded in the relevant section of the application form or in a separate covering letter.

5. Instructions, for filling up the application forms are printed on the form itself.

Additional guidelines which may be useful to the investigator writing the application are provided in the following pages of this section.

A specimen of the Application form has been reproduced on the following pages () and additional guidance is given in the italics within each cage of the reproduced Form or as footnotes. Detailed guidelines for preparing the budget are given on pages().

3. SUMMARY OF RESEARCH PLAN

This section should contain a succinct summary of the salient points extracted from the Project Description (Item 14)

Concisely indicate the objectives of the project, its relationship to WHO or national priorities and to current scientific knowledge on the subject. Summarize the research design and methodology and indicate how they will contribute towards achievement of the subject.

Mention approximate duration and probable use of the study.

The summary should be self-contained so that it can serve as a brief and accurate description of the Project even when considered independently of the main application form.

It is recommended that this section be written after the others have been completed.

4.	<p style="text-align: center;"><u>INSTITUTION RESPONSIBLE FOR RESEARCHPROJECT</u></p> <p>Name & Address :</p> <p><i>Name the ONE organization with which the Principal Investigator is associated (for purpose of the Research Project) and to which he is responsible. This Organization will be responsible and accountable for the use and disbursement of all funds awarded on the basis of this application. Where there are two or more organizations collaborating in the project, <u>ONLY ONE</u> should be designated as the institution responsible for the research programme.</i></p>
5.	<p>PRINCIPAL INVESTIGATOR (Please attach a copy of your curriculum vitae and List of publications relevant to the project.</p> <p>SURNAME/FAMILY NAME (in block letters)</p> <p>FIRST NAME / OTHER NAMES: <i>Name the <u>ONE</u> person who would be responsible for all the scientific and technical aspects of the work.</i></p> <p>TITLE OF POST HELD AT PRESENT: <i>If the Principal Investigator has more than one title, indicate the one that is most relevant to the proposed Research Project.</i></p> <p>NAME AND POSTAL ADDRESS:</p> <p>Telephone No.:.....</p> <p>Telegraphic Address:.....</p> <p>Telex Number:.....</p>
6.	<p style="text-align: center;">CO INVESTIGATOR(s), DEPARTMENT(s) AND INSTITUTION(s) COLLABORATING WITH AND/OR ACCOMMODATING THE PROJECT</p> <p><i>(A copy of the curriculum vitae and list of publications in respect of each collaborating scientist should be annexed in the same format as for Principal Investigators)</i></p>
6.1	<p>NAME:</p> <p>TITLE:</p> <p>DEPARTMENT:</p> <p>INSTITUTION (with address):</p>
6.2	<p>NAME:</p> <p>TITLE:</p> <p>DEPARTMENT:</p> <p>INSTITUTION (with address):</p>

6.3	NAME: TITLE: DEPARTMENT: INSTITUTION (with address):												
7.	DURATION OF PROJECT Total: _____ Year: _____ Months: _____ (Dates) From: _____ To: _____ <i>Funds will be provided initially for a maximum period of one year and will be continued as necessary on provision of a satisfactory progress report and a financial statement.</i> <i>To assess the duration of the project, take into consideration the different components of the study (e.g. designing of questionnaire; training of interviews; pilot study etc.) as well as the time needed for data processing, statistical analysis for writing the final report.</i>												
8.	FUNDS REQUESTED (US\$) <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center; border-bottom: 1px solid black;">Year 1</th> <th style="text-align: center; border-bottom: 1px solid black;">Year 2</th> <th style="text-align: center; border-bottom: 1px solid black;">Year 3</th> <th style="text-align: center; border-bottom: 1px solid black;">Total</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">19__</td> <td style="text-align: center;">19__</td> <td style="text-align: center;">19__</td> <td></td> </tr> <tr> <td style="text-align: center;">US\$</td> <td style="text-align: center;">US\$</td> <td style="text-align: center;">US\$</td> <td style="text-align: center;">US\$</td> </tr> </tbody> </table> <p style="margin-top: 10px;">* Funds will be provided initially for a maximum period of one year and will be continued as necessary on provisions of a satisfactory progress report and a financial statement. <i>Fill this section after the entire budget (item 17) has been completed.</i></p> <p><i>WHO/SEARO gives preference to research projects, which can be completed during 1-2 years. However, project for longer duration will be considered subject to the provision that funds will be provided in the first instance for a period of one year. Further payments will be subject to the availability of funds and to satisfactory progress being made as assessed by a review made at the end of each year.</i></p> <p style="margin-top: 20px;">++ Payment shall be made in to the Bank Account(s) of the institution as specified by the agreement with the WHO.</p>	Year 1	Year 2	Year 3	Total	19__	19__	19__		US\$	US\$	US\$	US\$
Year 1	Year 2	Year 3	Total										
19__	19__	19__											
US\$	US\$	US\$	US\$										
9.	++ RESPONSIBLE FINANCIAL AUTHORITYFINANCIAL ARRANGEMENTS NAME OF OFFICER TITLE..... NAME OF THE INSTITUTION..... POSTAL ADDRESS												

NAME OF THE BANK.....
.....
BANK ACCOUNT No.....

10 OTHER SUPPORT FOR PROPOSED RESEARCH

10.1 Is this research project being
Supported by any other source? Yes No

10.2 Has an application for funding of this
Project been submitted to any other organization(s) Yes No

If 'Yes' to 10.1 or 10.2 above, please indicate the
Organization(s) and amount of funds.

11 ETHICAL CLEARANCE

Institutional/National Clearance Document is attached.

Yes No Not applicable

Where national and/or institutional ethics review committees exist, applications for research involving human subjects must be reviewed and approved by them prior to funding by SEARO.

As stated in WHO Form 362.1 'Technical services Agreement' it is the responsibility of the institution and Principal Investigator to safeguard the rights and welfare of human subjects involved in research supported in whole or in part by funds from WHO, in accordance with the national code of ethics or legislation, if any, and in the absence through-the Helsinki Declaration and any subsequent amendments. For Helsinki Declaration, see Annex 8.

12 ACCEPTANCE OF GENERAL CONDITIONS AND DECLARATION BY THE PRINCIPAL INVESTIGATOR

I have read the general conditions governing research grants awards by WHO, as shown in WHO. 362.1 and 362.2 (copies of which are given in annexures 1(a), 1(b) & 1(c) of the Information Booklet on SEARO supported research issued by the WHO South-East Asia Regional Office).

I agree to accept responsibility for the scientific conduct of the project.

If a grant is awarded as a result of this application I shall provide Progress Reports and certified Financial Statements annually and a final report on completion of the study, according to the format provided in annexure 4 of information booklet.

I shall also provide an abstract on the completed research project. I have no objection to this being published in a WHO publication giving abstracts of research projects. In the event that I do publish the results in a journal, I shall acknowledge the World Health Organization for the support and shall provide the organization with three copies of any such articles.

Signature of Applicant.

Date:

13. DECLARATION OF THE HEAD OF THE INSTITUTION

I confirm that I have read this application and that
If granted, the work will be accommodated and administered
in the _____
(Name of the Institution)

As mutually agreed by the Institution and the World Health Organization.

Signature

Title

Surname and Initials

Department/Faculty/Institute.....

Address.....

.....

.....

Date.....

I certify that the grading and salaries quoted for temporary part time and full-time staff employed in the research project and the overtime and other entitlements quoted for permanent employees of the Institution are correct and are in accordance with the normal practice of this institution.

Signature

Title

Surname and Initials

Department/Faculty/Institute.....

Address.....

.....

.....

Please read section 17 (Budget) carefully before signing this

The application of Dr/Mr/Ms
(full name of the applicant)

of the
(full name of the institution)

for a Research Grant from WHO/SEARO has the concurrence of

.....
(full name of national approving authority)

.....
(Designation)

If awarded a Research Grant by WHO/SEARO, the applicant will be permitted the free use of the facilities available in the Institution(s) named in Section 4 of this application.

Signature

Full Name

Designation

Date

Seal

16

PROJECT DESCRIPTION

16.1

Objectives of the study:

(List the general and specific objectives of the proposed study and state clearly the research questions that are being asked or the hypothesis being tested)

State the general and specific objectives of the proposed study. Explain the research problems or the research questions that are being asked. Make a definitive rather than a vague statement. State what hypotheses, if any, are to be tested. Each hypothesis should be a testable proposition.

16.2

RATIONALE:

- a) Relevance of the proposed study to national health priorities or regional priorities identified by SEARO.

State the importance of the work described in the proposal and relates it to priority areas identified at the national level or by WHO/SEARO.

16.2

RATIONALE: (Cont'd)

- b) Relationship of the objectives to existing scientific knowledge on the subject. Cite relevant literature and refer to related work done in your country or elsewhere.

Briefly present the scientific background to the present proposal citing relevant literature, particularly of similar studies. Critically evaluate part work and the state of existing knowledge. Identify clearly those gaps in knowledge, which the results of the present study will fill.

16.3

Research Design & Methodology

(Describe the design of the study and methodology in sufficient detail to enable assessment of how they will contribute towards achievement of the stated objectives and to permit proper appraisal of the budget. Plan for data analysis should be included if relevant and important)

Describe the general design and plan of study and explain how this will provide answers to the research questions asked and provide solutions to the research problems being posed. Indicate the methodologies and procedures to be used. Cite references if known, methods will be used, if not, described in sufficient detail to permit appraisal. Mention also, to potential difficulties and limitations, if any, of the methodology and procedures.

Describe how data will be collected, analysed, and interpreted.

N.B.

For those who desire further guidance – additional details for laboratory, clinical and field studies are given in Annex “5”. All the details given may not be necessary for each and every study; neither can they be regarded as completed and exhaustive. They serve as guidelines for some types of study and may be used at the discretion of the investigator as appropriate to his/her research.

16.3

(Cont'd)

16.4

Utilization of results

Describe in brief how you perceive that the results from this study is likely to contribute to health development.

16.5

RESEARCH TRAINING NEEDS AND OPPORTUNITIES

(State whether the investigator, co-investigator or staff will require further training outside the institution as an essential pre requisite for undertaking the study, and if so state briefly the type, location and duration of training required.)

16.6

(State whether the project will give opportunity for research training to participants and if so, describe them briefly)

17 BUDGET

17.1 PERSONNEL: (A) PROFESSIONAL SCIENTIFIC STAFF

Salary for personnel, temporarily employed for the project
Give functional title and name if available. Use one horizontal column for each person.

FULL TIME	% of full time devoted to project	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
1.					
2.					
3.					
Sub-Total					
PART TIME					
1					
2					
3					
Sub-Total					

(use additional pages, if necessary)

17 BUDGET

17.1 PERSONNEL: (B) TECHNICAL STAFF

Salary for personnel, temporarily employed for the project
 Give functional title and name if available. Use one horizontal column for each person.

FULL TIME	% of full time devoted to project	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
1.					
2.					
3.					
Sub-Total					
PART TIME					
1					
2					
3					
Sub-Total					

(use additional pages, if necessary)

17 BUDGET (Cont'd):

17.1 PERSONNEL: (C) OTHER STAFF

Salary for personnel, temporarily employed for the project
Give functional title and name if available. Use one horizontal column for each person.

FULL TIME	% of full time devoted to project	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
1.					
2.					
3.					
Sub-Total					
PART TIME					
1					
2					
3					
Sub-Total					

(use additional pages, if necessary)

17 BUDGET (Cont'd)

EQUIPMENT

	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
Major equipment (costing over US\$500 each)				
Sub-Total				
Minor equipment (costing upto US\$ 500 each)				
Sub-Total				

(use additional pages, if necessary)

17.3

OPERATIONAL EXPENSES: (A) LABORATORY/OFFICE EXPENSE

BUDGET ITEM	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
Chemicals				
Consumable supplies				
Equipment Maintenance				
Information Retrieval				
Stationery				
Laboratory animals - (specify)				
Purchase				
Maintenance				
Overtime Payments (specify)				
Other (itemized)				
Sub-total				

(use additional pages, if necessary)

17

BUDGET (Cont'd)

17.2

OPERATIONAL EXPENSES: (B) CLINICAL EXPENSES

BUDGET ITEM	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
(a) Patient costs -				
- Transportation/reimbursement				
Of travel expenses/reimbursement				
Of lost income				
(b) Drugs				
(c) Supplies				
(d) Special Clinical Investigations				
(e) Overtime Payments				
(f) Others (itemized)				
Sub-Total				

(Use additional pages, if necessary)

17

BUDGET (Cont'd)

17.3

OPERATIONAL EXPENSES: (C) FIELD EXPENSES

BUDGET ITEM	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
Transportation				
Subsistence				
Petrol etc				
Vehicle Maintenance				
Overtime Payments				
Other (itemized)				
Sub-Total				

17

BUDGET (Cont'd)

17.3

OPERATIONAL EXPENSES: (D) DATA ANALYSIS

BUDGET ITEM (Specify)	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
Sub-Total				

17

BUDGET (Cont'd)

17.3

OPERATIONAL EXPENSES: (E) OTHERS

BUDGET ITEM (Specify)	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
Sub-Total				

17

BUDGET (Cont'd)

17.4

OTHERS

BUDGET ITEM (Specify)	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
Sub-Total				

17

BUDGET (Cont'd)

BUDGET SUMMARY

BUDGET HEAD	Year 1 US\$	Year 2 US\$	Year 3 US\$	Total US\$
17.1 <u>PERSONNEL</u>				
(A) <u>PROFESSIONAL SCIENTIFIC STAFF</u>				
(B) <u>TECHNICAL STAFF</u>				
(C) <u>OTHER STAFF</u>				
17.2 <u>EQUIPMENT</u>				
(A) Major				
(B) Minor				
17.3 <u>OPERATIONAL EXPENSES</u>				
(A) <u>LABORATORY/OFFICE EXPENSES</u>				
(B) <u>CLINICAL EXPENSES</u>				
(C) <u>FIELD EXPENSES</u>				
(D) <u>DATA ANALYSIS</u>				
(E) <u>OTHERS</u>				
17.4 <u>OTHERS</u>				
GRAND TOTAL				

18 BUDGET JUSTIFICATION - This is essential for major equipment and individual items of operational Expense costing more than US\$500

BUDGET SUMMARY

Budget Item	Sub-Title	Amount Requested	JUSTIFICATION

USE EXTRA PAGES IF NECESSARY

19	LOCAL RESOURCES AND FACILITIES - which will be made available for project	
19.1	<u>Personnel</u> Scientific Personnel (Functional title and No.) Technical Personnel (Functional title and No.) Other Personnel (Functional title and No.) Sub-Total :	Annual Salary paid by Host institution US\$ <hr/> ----- <hr/>
19.2	<u>Facilities</u> Transport facilities Office Facilities and equipment Computer facilities Laboratory space Related Equipment Animal facility, Laboratory animals Clinical Facilities Field Facilities	

GUIDELINES FOR PREPARATION OF BUDGET STATEMENT (Tables 17.1 to 17.6 & 18)

17. BUDGET:

Calculate the budgetary requirements carefully developing each item of expenditure from the research activities, which will be carried out, and the costs of the resources required to accomplish these activities.

For projects of 24 months duration or less, all expenditure must be itemized in detail under the various budget heads and sub-heads given in the Budget Tables.

For projects the duration of which exceeds two years, all expenditure for the first two years must be itemized in detail and indicated above. For the succeeding years, sub-totals for each sub-head would suffice but detailed budget proposals for each of the succeeding years should reach the Regional Office at least 6 months before the commencement of each year of funding.

17.1 PERSONNEL

In Table 17.1-A list the functional title (and names, if available) of professional and scientific personnel who will be employed in a temporary capacity for the purpose and duration of the project.

In Table 17.1 – B list as above functional title (and names, if available) of technical personnel who will be employed in a temporary capacity for the purpose and duration of project.

In Table 17-1 – C list as above functional title (and names, if available) of other personnel who will be employed in a temporary capacity for the purpose and duration of the projects.

As indicated in the Technical Services Agreement (Form WHO 362.1) salary support will not be provided to the Principal Investigator. In general also salary support or financial incentives will not be provided to co-investigators.

However, the actual cost incurred by principal Investigator and co-investigators in connection with the project may be defrayed from the project such as for travel and subsistence when research has to be done outside the normal place of work or city of residence. Such expenditure should be included in Table 17.3 under Operational expenses.

Permanent employees of the Dept/Institution responsible for the project or the Dept/Institution collaborating with the Project who provide service for the project during normal working hours are not entitled to any payment if the work done could be regarded as part of their normal studies.

However, permanent employees of the Institution are entitled to overtime payments for work done outside normal working hours if such is needed for the project. Such overtime payments should not be included in Tables 17.3 Operational Expenses.

Salaries/allowances paid for full time staff employed in a temporary capacity for the project should generally not be in great disparity with the salary (including allowances) paid to full time staff of comparable education attainment and experience employed in the host Dept/Institution. Higher emoluments (e.g. 25% more) if considered justifiable particular to attract person of good calibre for project jobs which are essentially of a temporary nature would be considered subject to approval by the local institution and responsible national authorities.

Temporary professional staff called upon to work more than the statutory number of days per week stipulated by the institution or on public holidays and weekends may be paid a per diem (calculated on a pro-rata basis of their monthly wages) for such extra

work. Likewise also, non-professional staff called upon to do extra work may be paid overtime payments should be calculated in conformity with the rates governing overtime payments in the host institution. They should not be include in Tables 17.1 – A, B, C, but should be included in Table 17.3 Operational Expenses.

17.2 EQUIPMENT:

Major equipment includes items costing over US\$ 500.00 each.

Consideration for support for major equipment may be seen more favourably if there is assurance of local facilities for service, maintenance and repairs.

Provide justification for all major equipment, costing over US\$ 500.00

Minor equipment includes items costing upto US\$ 500.00 each (e.g. pocket calculators, baby scales etc.)

The type of equipment required should be described in sufficient detail to enable assessment of the need for the Project.

Detailed specifications indicating manufacture, specification number etc. are not necessary at the state of submission of the application form, but must be provided when the project is approved and returned together with the signed Technical Services Agreement. However, these details may be provided even at this stage, if already prepared and ready (See Annexe).

17.3 OPERATING EXPENSES:

Operating expenses are expenses incurred in the day to day running of the project and are broadly sub-divided in to:

- A - Laboratory/Office expenses
- B - Clinical Expenses
- C - Field expenses
- D - Others

Indicate under each sub-head mentioned the total funding required for each year of operation.

For all goods ordered from abroad add 20% of the net F.O.B. cost for freight, sea freight and insurance if exact estimate as that given in a proforma invoice is not available.

A. LABORATORY/OFFICE OPERATIONAL EXPENSES MAY INCLUDE THE FOLLOWING:

Chemicals – including radio chemicals,

Supplies – such as filter paper, rubber etc.

Equipment maintenance – cost of maintenance of all requirement used in the Research Project as well as necessary spare parts and repairs. When available a service contract from the local agent for the duration of the project may be included.

Data Analysis – cost of punch cards/laps/computer time, payments to punch card operators, computer programmers and statistical officers may be included, if already identified.

Information Retrieval and Library services - reprints and Medline Searches (See Annex. VI) are usually provided free of charge by WHO. Where the project involves the need of a large number of reprints/medline searches the cost of such information retrieval may be charged by WHO and should be included in the budget at the rate of US\$7.00 per reprint and US\$15.00 per medline search. These funds for WHO services will not be paid to the applicant but will be held in trust by the Organization.

Stationery, Postage, Telephone – cost of all stationery including file covers forms, paper, etc, postage etc. may be included.

Laboratory animals – list each species of animals separately and indicate expenditure for purchase and for maintenance. Maintenance cost would involve cost of food, drugs, disinfectants, etc. When animals are purchased from abroad cost of veterinary certification, transport and insurance may be included.

Overtime - for Laboratory personnel (see above)

B. CLINICAL OPERATION EXPENSES:

Expenditure incurred for research involving patients in a hospital or clinic setting may be included. Under this budget line for items not applicable elsewhere.

Patient cost - expenditure incurred in transporting patients to a hospital clinic or laboratory when such travel is necessary for research and is not part of routine health services provided. Where patients lose income or have to incur extra expenditure for subsistence as a result of attendance at a hospital, clinic or laboratory to participate in a research project some form of compensation for loss of income and for subsistence may be considered if financially burdensome to the participants. Their participation cannot otherwise be ensured. Routine attendances and follow-up required for the patient's own benefit should not ordinarily be reimbursed.

Clinical investigations - the local cost of routine bio-chemical, haematological, pathological tests and radiological procedures may be included if necessary for the purpose of the clinical research being conducted, and if not provided free of charge to all patients as part of normal health services.

Drugs - the cost of new drug being tested may be included but drugs being tested may be included but drugs require for routine patient care should not be included in the budget.

Supplies - supplies related to the investigations and care of patient which are additionally required for clinical research may be included, if they are not provided free of charge as part of normal health services. Example are disposable syringes/needles, urine collection bags, disposable indwelling catheters and three way stop-cocks for collection of blood samples, clinistix etc.

Overtime - for nursing ward and clinic staff (see 16.1 above)

C. FIELD OPERATIONAL EXPENSES

Expenses incurred for research work in the field and in the community may be included under this budget line for items not applicable elsewhere.

Transport – travel expenses for personnel and for field equipment, hire of vehicles, etc. at locally applicable rates.

Subsistence for personnel who have to travel from their normal place of work or city of residence to the field area/site in order to do the research. It should not be provided for personnel or casual labour hired at the field site and whose residence is at/near the fieldwork area/site. The rates should be those commensurate with the local cost of living for such personnel.

Rental - rent of temporary premises or work place necessary for research in the field may be included at locally applicable rates, if not provided free of charge by local Government, authorities, or the community.

D. Other operating expenses:

Itemize and cost all other operational expenditure not applicable under the foregoing sub-heads A.B.C.

17.4 OTHERS:

Include here any other item of expenditure not applicable to the previous sections.

17.5 BUDGET SUMMARY:

Transfer the subtotals from sections 17.1 to 17.4 to the budget summary table provided. This would reflect the total budgetary requirements and also indicate the annual expenditure on each of the major subheads.

17.6 BUDGET JUSTIFICATION

Give justification for each of the budget heads. 17.1 to 17.4

Personnel: explain the necessity of staff specified in the budget relating the needs for such staff to the design and methodologies.

Equipment: indicate the need for the equipment in relation to the research design and methodologies. Justification is essential for individual items if major equipment costing more than US \$ 500.00.

Operational expenses and others:

Justify individual items costing more than US \$500.00 (if the need for them is not clearly evident from the details provided in the budget tables in section on methodologies).

There can be no hard and fast rule about what to justify. Processing of the application would be facilitated if justification could be provided for items whose need is not self-evident from their description in the budget tables or from the details given in the selection on Methodologies. – especially for items costing more than US \$ 500.00.

18. LOCAL RESOURCES AND FACILITIES

This table would indicate the local “inputs” to the research project by the host institution.

Laboratory area space - Give indication of space available as approximate.

Equipment – List all major equipment already available in the department relevant to the project.

Animal facility, Laboratory Animals – List the nature of animal facilities, the type of animals available.

Office facilities and equipment – Indicate those, which will be relevant and available for, project e.g. copier.

Computer Facilities: - Indicate the type of computers and software available for the project.

Clinical Facilities: - Indicate the type of clinical facilities that will be available for the project.

Transport facilities: - Indicate the type and number of vehicle and driver, which will be made available full time/part time for the project.

Other Facilities: - Itemize all other facilities provided by the host institution and not included under the above sub-heads.

GENERAL CONDITIONS

The following are the general conditions relating to this Agreement concerning WHO support for research or other technical services. The purpose of such support is to assist an Institution to undertake for WHO investigations on a particular problem or other work which has been agreed upon by the Institution and WHO.

1. INSTITUTION AND PRINCIPAL INVESTIGATOR

- 1.1 The Institution and the Principal Investigator (or responsible Technical Officer), who must be an employee of the Institution, shall be jointly responsible for all the technical and administrative aspects of the work referred to in this Agreement.
- 1.2 The Institution is required to notify WHO immediately of knowledge that the Principal Investigator will cease or ceases to be an employee of the Institution or is no longer continuing the responsibilities covered by this Agreement. Under such circumstances WHO has the right to:
 - a. cancel this agreement
 - b. agree to continue the project under a new Principal Investigator proposed

2. FINANCIAL ARRANGEMENTS

- 2.1 Payments shall be made into the bank account(s) of the Institution as specified in this Agreement and in accordance with the schedule of payments contained therein. If, after the submission of the final financial report referred to in paragraph 4.3 below, there remains an unused balance of funds with the Institution, this balance shall be due to WHO. In the event of this Agreement being cancelled under any circumstances, the institution shall refund to WHO the balance of uncommitted funds. The funds provided under this Agreement shall be expended only in accordance with its terms
- 2.2 The funds transferred to the Institution under this Agreement may not be used to meet any form of emoluments, travel costs or any other reimbursements of expenditure to a staff member of WHO.
- 2.3 Unless otherwise provided in this Agreement the funds may not be used to cover
 - a. normal administrative and overhead expenses of the Institution;
 - b. cost of maintenance, repair, running or insurance of existing equipment and machinery belonging to the institution;
 - c. cost of construction of new buildings or alterations and modifications of existing buildings and premises;
 - d. salary support of the Principal Investigator.

3. EQUIPMENT AND SUPPLIES

- 3.1 Unless otherwise agreed, and subject to subparagraph 3.2 below, any equipment acquired under this Agreement shall become the property of the institution. The institution and the Principal Investigator shall be jointly responsible for the proper safeguard, maintenance and care of all equipment acquired under this Agreement.
- 3.2 Notwithstanding subparagraph 3.1 above, the Institution shall transfer ownership of any equipment acquired under this Agreement to WHO, if so requested by WHO, upon termination or expiry of this agreement. In such cases the Institution shall despatch the equipment to any destination chosen by WHO, the cost of which will be borne by WHO.

4. REPORTS

The Institution shall submit technical and financial reports to WHO on the work as required, or at least annually, in accordance with the following provisions:

- 4.1 Technical reports shall be prepared by the Principal Investigator and forwarded through and countersigned by the authorized official of the Institution or his authorized representative. Each annual report shall summarize the results of the project and give in sufficient detail its positive and negative findings so that the value of the work can be assessed.
- 4.2 Financial reports shall be forwarded after being jointly certified by the Institution's chief financial officer and the Principal Investigator, using form WHO 782. The reports must show the use of the funds provided by WHO compared with the original budget expenditure Pattern agreed between the Institution and WHO.
- 4.3 All financial and technical reports are subject to audit by WHO, including examination of supporting documentation and relevant accounting entries in the Institution's books. In order to facilitate such reporting and audit, the Institution shall ensure that accurate and systematic accounts and records are kept in respect of the project. The final technical and financial reports must be submitted within 90 days after the expiry of this Agreement.

5. RELATIONSHIP AND RESPONSIBILITY OF PARTIES

The relationship of the institution to WHO shall be that of an independent contractor. The employees of the Institution are not entitled to describe themselves as staff members of WHO. The Institution shall be solely responsible for the manner in which work on the project is carried out and accordingly shall assume full liability for any damage arising from research or other technical services under this Agreement. No liability shall attach to WHO, its advisers, agents or employees.

6. USE OF RESULTS, EXPLOITATION OF RIGHTS, AND PUBLICATION

- 6.1 The results of the project funded under this Agreement may be freely used or disclosed by either party provided that, without the consent of the other party, no use may be made for commercial purposes, and confidentiality shall be maintained with respect to results that may be eligible for protection by proprietary rights. The Institution shall provide WHO with the results, in the form of relevant know how and other information, and to the extent feasible, tangible products.

- 6.2 The industrial or commercial exploitation of any intellectual property rights, including the ownership of know-how, arising from the project shall be designed to achieve, in so far as circumstances permit, the following objectives in the following order of priority:

- a. the general availability of the products of creative activity;
- b. the availability of those products to the public health sector on preferential terms, particularly in developing countries;
- c. the grant to each party of additional benefits, including royalties account being taken of the relative value of each party's financial intellectual and other contribution to the research.

- 6.3 The rights referred to in para. 6.2 shall belong to the Institution, or to the Principal Investigator if the Institution and WHO so agree. To the extent that the former do not intend to exercise them, the rights shall be promptly transferred to WHO, if it so request. Each party shall provide the other with its full cooperation to permit the effective exercise of the rights. The party in which the corresponding rights are vested may file applications for industrial property protection, promptly furnishing copies of the applications and other patent document to other party. All rights other than the right to file applications shall be negotiated in good faith between the Institution and WHO.

- 6.4 In any publication by the Institution or the Principal Investigator relating to the results of the project, the responsibility for the direction of the work shall not be ascribed to WHO. Unless WHO advises otherwise, all publications shall include a notice indicating that the underlying investigation received financial support from WHO. TWO off-prints or copies shall be sent to WHO unless another number is stipulated. WHO funds may not be used for publication costs unless specifically authorized.

7. RESEARCH INVOLVING HUMAN SUBJECTS

7.1 Ethical Aspects

It is the responsibility of the Institution and the Principal Investigator to safeguard the rights and welfare of human subjects involved in research supported in whole or in part by funds from WHO, in accordance with the appropriate national code of ethics, or legislation, if any, and in the absence thereof, the Helsinki Declaration and any subsequent amendments. Such funds may be used only to support investigations where (a) the rights and welfare of the subjects involved in the research are adequately protected, (b) freely given informed consent has been obtained, (c) the balance between risk and potential benefits involved has been assessed and deemed acceptable by a panel of independent experts appointed by the Institution and (d) any special national requirements have been met.

7.2 Regulatory Requirements

It is the responsibility of the Institution and the Principal Investigator to comply with the relevant national regulations pertaining to research involving human subjects.

7.3 Protection of Subjects

Without prejudice to obligations under applicable laws, the institution shall make appropriate arrangements to eliminate or mitigate the consequences to subjects or their families in the case of death injury or illness resulting from the conduct of research referred to in paragraph 7.1. Such arrangements shall, to the extent feasible, include medical treatment and financial relief. The Institution and Principal Investigator undertake to project the confidentiality of the information relating to the possible identification of subjects involved in the research involving human subjects conducted under the auspices of this Agreement.

8. RESEARCH INVOLVING THE USE OF LABORATORY ANIMALS

The Institution undertakes that living vertebrate animals, required for use as laboratory animals for the research to be carried out under this Agreement, shall be handled in accordance with generally accepted principles for the humane treatment of such animals and the avoidance of unnecessary suffering.

9. RESEARCH SAFETY

It is the responsibility of the Institution to establish and implement policies and practices to assure and provide for the safety of its employees, the public, and the environment during the conduct of the supported research; If the supported research involves the use of dangerous biological agents, the Institution shall establish and implement an appropriate safety plan

10. PUBLICITY

The Institution and the Principal Investigator shall not refer to the relationship of WHO to the Project, or to products or processes connected with the project, in any statement or material of a publicity or promotional nature issued for commercial purposes, or with a view to financial benefit.

11. CHOICE OF LAW AND SETTLEMENT OF DISPUTE

The agreement shall be constructed in accordance with the law of Switzerland. Any dispute relating to the interpretation of execution of this Agreement shall, unless amicably settled, be subject to conciliation. In the event of failure of the latter, the dispute shall be settled by arbitration. The arbitration shall be conducted in accordance with the modalities to be agreed upon by the parties or, in the absence of agreement, with the Rules of Arbitration of the International Chamber of commerce. The parties shall accept the arbitral award as final.



WORLD HEALTH ORGANIZATION

ORGANIZATION MONDIALE DE LA SANTE

TECHNICAL SERVICES AGREEMENT
ACCORD DE SERVICES TECHNIQUES

WHO Reference / Réference OMS
Reg. File.....I.D.
ALLOTMENT – ATTRIBUTION DE CREDIT
No.
Earmarking - Affectation
Obligation – Engagement de dépense
SPACE FOR STICKER

The WORLD HEALTH ORGANIZATION hereby agrees to provide to

ANNEX 1 (b)

L'ORGANISATION MONDIALE DE LA SANTE s'engage par la présente à fournir à

INSTITUTION
Department/Faculty – Département/Faculté
Address/Adresse

US \$.....(.....)
in words/en toutes lettres

in respect of/en vue de

(short project title / titre abrégé du projet)

project period financed by this Agreement.....
période du projet financée par le présent accord

Financial Arrangements / Dispositions financières

1. Payments will be made / Les versements seront effectués :

(a) On signature of the Agreement, the sum of US \$.....and, where applicable, of
A la signature de l' accord, la somme de US \$

(b) Further installments as follows:
D' autres versements seront échelonnés comme suit:

US \$.....on/le.....
US \$.....on/le.....
US \$.....on/le.....

to the Institution's bank accounts as indicated below/aux comptes bancaires de l' Institution indiqués ci-après:

Account No. and name/Numéro et intitulé du compte.....
Bank name and address/ Nom et adresse de la banque.....

Account No. and Name/Numéro et intitulé du compte.....
Bank name and address/ Nom et adresse de la banque.....

2. US \$.....will be used by WHO for the purchase of equipment and supplies to be ordered by the Institution as soon as practicable, but not beyond 31 December of the year following the end of the Agreement period as indicated above at which time any uncommitted balance will revert to WHO.

US \$.....seront affectés par l'OMS à l' achat de matériels et de fournitures à commander par l'Institution dès que possible, mais au plus tard avant le 31 décembre de l'année suivant la fin de la période susmentionnée d'exécution de l'accord, étant entendu qu' à ce moment tout solde non engagé fera retour à l'OMS.



WHO Reference / Référence OMS	
Reg. File.....	I.D.
Dossier d'enregistrement	Identification

Summary of work / Description sommaire des travaux

ANNEX 1 (c)

1. Description of work under this Agreement / *Description des travaux faisant l'objet du présent accord*

2. Contribution of the Institution and / or other sources for the project (staff, equipment, supplies, etc. excluding general facilities) *Contribution de l'Institution ou de tout autre organisme à l'exécution du project (personnel, matériel, fournitures, etc., à l'exclusion des services d'ordre général)*

Attach separate sheet if necessary – *Joindre des intercalaires s'il y a lieu*

<p>General</p> <p>The parties accept the “General Conditions” overleaf, which constitute an integral part of this Agreement. The Institution certifies the correctness of the banking instructions provided on Page 1.</p> <p>All necessary arrangements to comply with national regulations relating to this project and relevant to the Institution’s responsibilities shall have been undertaken by the Institution; failure to do so will nullify this Agreement. The responsibility of the World Health Organization is limited only to the financial support as specified in the Agreement.</p> <p>ON BEHALF OF WHO/POUR L'OMS</p> <p>Responsible WHO Technical Officer: <i>Fonctionnaire technique responsable de l'OMS</i></p> <p>Signature..... Name / <i>nom</i>..... Title / <i>titre</i>.....</p> <p>Responsible Divisional Director <i>Directeur de division responsable</i></p> <p>Signature..... Name/<i>nom</i>..... Division..... Date.....</p>	<p><i>Généralités</i></p> <p>Les parties acceptent les “Conditions générales” reproduites au verso, lesquelles font partie intégrante du présent accord. L'Institution certifie l'exactitude des instructions bancaires indiquées à la page 1.</p> <p><i>Toutes les dispositions nécessaires pour se conformer à la réglementation nationale relative à ce projet et relevant de ses responsabilités devront avoir été prises par l'Institution, faute de quoi l'accord sera nul. La responsabilité de l'Organisation mondiale de la Santé se limite au soutien financier spécifié dans le présent accord.</i></p> <p>PRINCIPAL INVESTIGATOR/CHERCHEUR PRINCIPAL</p> <p>Principal Investigator or Technical Officer responsible for the project. <i>Chercheur principal ou membre du personnel technique responsable de l'exécution du projet</i></p> <p>Signature..... Name / <i>nom</i>..... Title / <i>titre</i>.....</p> <p>ON BEHALF OF THE INSTITUTION / POUR L'INSTITUTION</p> <p>Responsible Administrative Authority* <i>Autorité administrative responsable*</i></p> <p>Signature..... Name/<i>nom</i>..... Division..... Date.....</p>
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* An official of the Institution – other than the Principal Investigator – fully empowered to enter into contracting arrangements on behalf of the Institution.

Un responsable de l'Institution – autre que le Chercheur principal – ayant pleins pouvoirs pour passer un contrat au nom de l'Institution.

PROGRESS REPORT

Date:

- Project Title

SN. No.

- Name of Principal Investigator

- Name of Institution Responsible

Country

- Amount of Grant

Duration of Grant

- Date TSA signed

Date and amount of funds received

- Reporting period month

year

to

month

year

- Objectives of the Project (List summary form)

- Planned activities for the period

- Activities carried out during the period

- Summary of research and their relationship to the objectives and interim conclusion.

Annexure 4 (a) (Cont'd)

Planned activities:

RESULTS (in summary form, provide table, figures, as required)

DISCUSSION AND CONCLUSIONS:

Relate the results obtained to the objectives of the Project.

State how you perceive the results may be utilized in health care or health related activities in your country or elsewhere.

Recommendations for future research if any:

Publications – arising from the report

Annexure 4 (B)

FORMAT FOR ABSTRACTS

PROJECT TITLE (CAPITALS), SN NUMBER, PRINCIPAL INVESTIGATOR
ADDRESS AND YEAR (s)

RESEARCH PROBLEM OR HYPOTHESIS

APPROACHES AND METHODS

RESULTS

CONCLUSIONS

UTILSABILITY OF RESULTS

UTILIZATION ALREADY ACHIEVED

PUBLICATIONS

PLANNED ACTIVITIES – originally planned:

ACTIVITIES PERFORMED

RESULTS (in summary form, provide table, figures, as required.)

Discussion and conclusions:

ANNEXEURE – 5

GUIDELINES FOR RESEARCH DESIGN AND METHODOLOGY

Introduce this section with a single short paragraph, succinctly summarizing the research design, sampling procedure, research instruments and the mode of data processing and statistical analysis.

Describe in detail the experimental design and the methodologies that will be used in the study, described the experiment(s) protocols to be used. Describe the means by which data will be collected, analysed and interpreted.

Indicate clearly any procedure or agents that could be hazardous to the research workers. State the precautionary measures that will be taken to minimize or protect against potential risks.

Provide a tentative time schedule for each part of the proposed plan of work.

Conclude by outlining clearly the potential difficulties and limitations (if any) of the procedures, which might interfere with the completion of the project as planned. Discuss alternative strategies that will be used to achieve the objectives.

Specify instructions for completion of this section with special reference to the type of research study are given below:

1. For Laboratory studies:

- a. The following should be clearly described
 - experimental design
 - statistical design and proposed analysis
 - Standard laboratory methods (techniques) to be employed (with relevant literature)
- b. State whether:
 - the method(s) is/are established procedures in the laboratory institution where work will be done
 - personnel are adequately trained or additional training is necessary.
 - necessary equipment with maintenance and repair facilities are available.
 - reagents are readily available or easily purchased.
- c. New laboratory methods (techniques). Includes information on –
 - procedures to be used (in detail)
 - advantages over existing methods
 - equipment; whether available or need to be purchased
 - personnel; number available, number of new recruits needed and any training required
 - need for any additional facilities (e.g. cold room, fume cup-board, metabolic cages)
 - any other details which would enable an expert reviewer to assess to new method;

2. For Clinical Studies:

a. Protocol design

Describe clearly:

- the type of protocol (e.g. controlled clinical trial, double blind trial etc.)
- the number of treatment groups.
- the characteristics of the study population and of each sub-groups there-in.
- the kind and frequency of observations
- the frequency, timing and route of administration of any proposed agent or drug. (Indicate whether the drug is included in an official pharmacopoeia or reference book or whether it is a new drug or an agent used in Traditional Medicine.
- The statistical design and analysis to be carried out.

b. Protocol Operation:

Describe how the trial will be carried out, and state,

The criteria for subject selection – Describe the nature of the study population (e.g. school children, village residents, medical students, nurses, etc.

Specify in detail all the characteristics of the subject population (e.g. anticipated number, age, sex, special criteria such as height, weight, haemoglobin level, disease conditions etc.)

- c. Explain the rationale for the use of special classes of subjects such as pregnant women, children, mentally handicapped persons, prisoners or others, especially those whose ability to give voluntary informed consent may be in question.
- d. Specify the sample size and explain the need for this number of subjects.
- e. Describe the methods of data collection (e.g. coded questionnaire, interview schedule, physical examination, serological tests etc.).

If possible include a copy of the instrument(s) in the appendix. If the entire instrument has not been developed provide illustrative examples of the type of questions, measurement techniques etc. Indicate how reliable and valid the instrument are. The inclusion of the complete instrument(s) will facilitate and the processing of the research applications by WHO.
- f. Describe the methods of data recording (e.g. field book, cards) and methods of data analysis.
- g. For field studies of vectors or reservoir hosts, state the source (proper taxonomic identification) and site including environmental characteristics.
- h. Facilities for fieldwork: indicate availability of vehicles, personnel, equipment, etc.

ANNEXURE – 6 (a)

GUIDELINES FOR ORDERING SUPPLIES AND EQUIPMENT THROUGH WHO/SEARO

Chemicals, glassware, laboratory supplies and equipment may be ordered (from funds provided for Research Project) through the regional Office Arrangements can be made for the money required for such orders to be retained (in trust) at WHO/SEARO

Address all requests for supplies and equipment for the research project to the Regional Director, Attention: Regional Adviser, Medical Research, World Health Organization, Regional Office for South East Asia, Indraprastha Estate, New Delhi – 110 002 quoting the WHO File Reference Number of your Agreement and Project Number if provided.

The following information should be provided with respect to all orders for supplies and equipment made through the Medical Supply Officer of WHO/SEARO:

Name and address of supplier

Details of catalogue - Edition number
 - Year of Publication

Catalogue Number:

Description of Item - give the complete description or title. Do not use abbreviations.

For electrical equipment give specifications of voltage and cycle frequency.

Ensure that a sufficient quantity of spare parts and all the accessories needed are ordered with each instrument. Include the cost of all spares and accessories in the total cost of the equipment.

Number (of items) to be ordered

Unit price (in the currency of the country of origin)

Total price (in the currency of the country of origin together with
US Dollar equivalent at prevailing rates of exchange).

Consignees' address: Indicate clearly the address to which consignment should be delivered. In some countries clearance through customs is difficult if the package is addressed to an individual by name. Clearance may be facilitated by addressing the package by title and then mentioning the name of the Principal Investigator.

e.g. The Head/Dept of Pharmacology
 (Attention: Dr A. A. Perera)
 Medical School
 Peradeniya, Sri Lanka

Via Colombo *

1

* When the Institution is situated in a city away from the port/airport where the goods will be discharged, always indicate the name of the port/airport via which the goods will arrive at your Institution.

GUIDELINES FOR ORDERING SUPPLIES AND EQUIPMENT THROUGH WHO/SEARO

CHEMICALS/LABORATORY SUPPLIES/GLASSWARE/EQUIPMENT

<u>Name and Address of supplier.</u>		<u>Catalogue</u>			
		Edition No.			
		Year of Publication			
Item No.	Catalogue No.	Description	Quantity	Unit Price	Total Price
				Sub-total	
				Add 20% for packing, freight and insurance	

Use extra pages, if necessary

ANNEX – 7

Notes on using Index Medicus and choosing between Index medicus and MEDLINE

Index Medicus is one of the principal indexes to the biomedical literature of the world. It is produced by the United States National Library of medicine located at Bethesda, Maryland USA

Index Medicus contains bibliographical references to approximately 2600 journals from countries.

Arrangement:

The monthly issues are in two sections: the Bibliography of medical reviews and the main index itself. The bibliography of medical reviews is arranged by subject; the main index is subdivided into subject and author sections. The review section is much smaller than the main section and can be useful for finding a general introduction to a subject.

The annual volumes whose title is Cumulate Index Medicus follow the same pattern as the monthly issues.

Searching by subject:

Entries are arranged according to a controlled vocabulary of terms called "Medical Subject Headings" (MeSH). The MeSH list is published each year as part of the January Index Medicus.

In order to use Index Medicus successfully for a subject search, it is important to identify the most appropriate indexing term available. To achieve this it is best to refer to the MeSH listing first, before going to the index itself.

Medical Subject Headings (MeSH)

This is in two parts – an alphabetical listing of terms, and a categorised list which groups related terms together. Words in large type in the alphabetical list are used as indexing terms; words in small type are cross-references to other related terms that are used. MeSH changes slightly from one year to the other; some new terms are added and some old ones deleted.

Subheadings:

In the subject section of Index Medicus a number of subheadings (approximately 75 are used to bring together references about a particular aspect of subject, for example etiology, microbiology, prevention and control. In the introduction to MeSH a complete list of subheadings is found together with explanations regarding their use, the subheadings are particularly useful when there are very many references listed under a particular subject.

It takes several months for articles to be indexed in Index Medicus. When looking for a paper published in 1978, one should remember to try the 1979 volume as well.

MEDLINE:

Medline is a computer system for recent biomedical literature developed by the U.S. National Library of Medicine. This database of well over a million bibliographic references is formed by indexing current medical literature. Terms from Medical subject Headings (MeSH) are used to analyze in detail the contents of articles chosen for addition to the database. They are the same articles and the same subject headings as for Index Medicus. In MEDLINE an average of 12 subject headings are used for in-depth descriptive analysis compared to the two or three subject headings used to describe articles in Index Medicus. These same subject headings or a combination of headings are used to retrieve references. A number of terms, such as geographic terms or terms used for age groups are stored in the computer but are not printed in Index Medicus.

MEDLINE is best suited for retrieval of references when a concept is represented by a combination of terms. For example, when references on malaria in Senegal, in adolescents, published in journals written in French are needed, then a computer search would be more appropriate than a manual search. However, if references on a topic such as somatomedin are needed, they are all found in Index Medicus under the subject heading SOMATOMEDIN: by looking through the references listed a scientist can select those that are most suited to this needs. Such searches for references are known as "one-term" searches. This means that required references are grouped under one subject heading in Index Medicus (the subject heading may consist of one or more words, for example, SCHISTOSOMIASIS, HLAMYDIA INFECTIONS, PNEUMONIA, INTERSTITIAL PLASMA CELL.)

Both the Index Medicus and the computerized retrieval system MEDLINE are extremely valuable tools for the medical librarian. It is up to the librarian, in consultation with the library user, to decide which of the two is the most appropriate tool for each occasion.

For example a requester can have a MEDLINE printout with abstracts of some of the articles listed (a number of publishers have placed a copyright embargo on their journals prohibiting the reproduction of abstracts). MEDLINE therefore can only reproduce abstracts for those journals for which there is no embargo. A manual based on Index Medicus provides no abstracts; an experienced scientist however can select from the title those articles, which interest him most.

ANNEXE - 8

Declaration of Helsinki

ANNEXEURE – 9

ADDRESS OF CURRENT NATIONAL FOCAL POINT LIBRARY SERVICES

BANGLADESH	National Medical Library and Documentation Centre Institute of Public Health Premisen Mohakhali <u>Dhaka</u>
BURMA	Library of the Department of Medical Research Ministry of Health No. 5, Zafar Shah Road <u>Rangoon</u>
INDIA	National Medical Library Ansari nagar Ring Road <u>New Delhi</u>
INDONESIA	National Institute of Health Research and Development Ministry of Health <u>Jakarta</u>
NEPAL	Bir Hospital Library Ministry of Health Kathmandu
SRI LANKA	Medical Library University of Colombo Colombo
THAILAND	Library Division (Siriraj Medical Library) Siriraj Hospital Mahidol University Bangkok - 7