



भारतीय कृषि अनुसंधान परिषद
राष्ट्रीय कृषि नवोन्मेषी परियोजना
कृषि अनुसंधान भवन-2, नई दिल्ली-110 012
Indian Council of Agricultural Research
National Agricultural Innovation Project
Krishi Anusandhan Bhavan-II, Pusa, New Delhi – 110012
Tel: 011-25848772; Fax: 011-25843403



Dr. Bangali Baboo
National Director

**F.No. NAIP/Ext-subproj/2011/
Dated: September 06, 2011**

Subject: Guidelines and proforma for extension of sub-projects under NAIP - reg.

Dear Consortium Leaders/Consortium Principal Investigators,

The closing date of NAIP is being extended by 18 months from December 31, 2012 to June 30, 2014 with approval of World Bank and International Development Association (IDA). The delay in Phase-1 (especially Call-3 sub-projects), and severe drought in 2009 might not have allowed adequate time to complete sub-project objectives in some cases. This extension will help scaling up high impact technologies developed under Components 2, 3 and 4 and also consolidation and mainstreaming of mega facilities being created under Component- 1.

The guidelines and proforma for extension of NAIP sub-projects are enclosed with this letter. Ten copies (print) of proposals in the prescribed proforma along with soft copy may be submitted to respective National Coordinator so as to reach on or before **October 31, 2011**. If a sub-project is able to complete its objectives within approved time schedule, the proposal for extension need not be submitted. No sub-project would be considered for extension beyond December, 2013.

(Bangali Baboo)

Enclosure: As above (also available on NAIP website: www.naip.icar.org.in)

Copy to: All NCs, DF (PIU), US (PIU), PS (M&E), PS (Trg.)

National Agricultural Innovation Project
(Indian Council of Agricultural Research)
Project Implementation Unit,
KAB-II, Pusa, New Delhi – 110 012

**GUIDELINES FOR SUBMITTING PROPOSAL FOR EXTENSION OF
SUB-PROJECTS UNDER NAIP**

1. Project Background and Status

NAIP was approved on April 18, 2006 and became effective for implementation on September 18, 2006. Phase 1 of the project, which involved identifying priority areas for research, inviting, peer-reviewing and approving research sub-projects, was completed in March 2010. Phase 2 consists of implementation of the approved sub-projects and is in progress now. In all, 188 sub-projects have been approved under four components, which is more than three times the number envisaged at appraisal. Due to the overwhelming response to three Calls for submission of proposals under the competitive mode and diversity of partner institutes, some of whom were implementing a World Bank-funded project for the first time, grounding of the approved consortia took more time, about 36 months to complete Phase 1, as compared with appraisal estimate of 18 months. The delay in Phase-1 (especially Call-3 sub-projects), and severe drought in 2009 might not have allowed adequate time to complete sub-project objectives in some cases.

With this in view, the closing date of NAIP is being extended by 18 months from December 31, 2012 to June 30, 2014 with the approval of World Bank and International Development Association (IDA). An extension of the closing date will also help scale up high impact technologies developed under Components 2, 3 and 4 by promoting their dissemination and adoption by large number of farmers in the project areas. Many mega facilities being created under Component- 1 require a reasonable time to consolidate and mainstream good outputs. During extended period such consolidation at national level would be achieved.

2. Submission of Proposals

Proposals for extension of sub-projects may be forwarded to the concerned NC from CPIs for those approved sub-projects under Components 1, 2, 3 and 4:

- that require additional time for completing the approved technical program of work which includes laboratory studies, farm experimentation, on-farm adaptive trials and demonstrations on farmers' fields etc.
- those adversely impacted by severe drought in 2009 for which field trials had to be repeated for another year;
- Call 3 consortia, the approval of which was delayed due to the longer time taken to complete Phase 1; and
- mega facilities being created under component- 1 requiring reasonable time to consolidate and mainstream good outputs.

Ten copies of proposal along with soft copy should be submitted by the CPIs in the prescribed proforma (**Annexure-1**). Proforma duly filled in consultation with CCPIs and CAC Chairman (except for Component-1) and forwarded by the consortia leader (Director/Vice-Chancellor) should reach the concerned NCs, PIU-NAIP, KAB-II, Pusa, New Delhi-110 012 by October 31, 2011.

3. Processing of Proposals

The complete proposals received from CPIs, found suitable by NCs, shall be submitted before Review Committee. The Review committee will comprise of following members-

Senior Expert (One for each component)	Chairman
Expert in relevant field (Thematic area-wise)	Member
Nominee of the concerned SMD (ICAR)	Member
Director Finance (PIU-NAIP)	Member
Under Secretary (PIU-NAIP)	Member
Principal Scientist (M&E)	Member
National Coordinator (concerned)	Member Secretary

The CPIs may be called for presentation before the committee, if required. The committee will give report to PIU-NAIP in the format given in Part-V of the proforma (Annexure-1). This process shall be completed by December 31, 2011.

4. Approval of Proposals and Communication to CPIs

On consent of review committee the proposal will be submitted to RPC/O&MPC for approval. On approval of the RPC/O&MPC, the sanction shall be communicated immediately to the CPI by the NC.

5. Conditions

- The consortium leader and partners need to be in agreement (on amended time-frame, activities, addition/deletion of partners, etc.) before requesting NCs for an extension.
- The sub-projects with Highly Satisfactory (HS) performance rating, which are not able to achieve the objectives as per the technical program, will be given priority.
- The sub-projects can be extended for a period of 12-15 months or upto a maximum of December 31, 2013.
- Existing partners can be dropped, if required.
- No additional project staff will be provided for the existing partners.
- Budget not spent in the years originally allocated for, shall be reallocated to the extended period.
- No additional equipment/works will be provided.
- Extension of sub-projects activities shall be considered on case-to case basis.

Annexure-1

Proforma for Extension of NAIP Sub-projects (To be submitted to concerned National Coordinator before 31-10-2011)

Part-I

(General information about the sub-project)

1. Title of the Sub-project: _____

2. Component: _____ 3. Sub-project Code: _____

4. Name of Consortium Principal Investigator and Partners:

S. No.	Name of CPI/CCPI with Designation	Name of Organization and Address	Phone & Fax	Email

5. Approved duration of the Sub-project from _____ to _____

6. Requested extension of duration from _____ to _____

7. Total sanctioned amount for the sub-project (₹ in lakhs):

8. Total expenditure of the sub-project (₹ in lakhs):

9. Total sanctioned amount and expenditure partner-wise (₹ in lakhs):

	Amount sanctioned	Amount released	Expenditure
CL			
CP1			
CP2			
CP3			
CP4			
CP5			

CL-Consortia Leader; CP-Consortia Partner

10. Total additional amount required by the sub-project during extension period (₹ in lakhs):

Part-II

(Technical achievements under the sub-project)

1. Scientific/Technical Achievements so far (in relation to attainment of objectives):

S.No.	Objectives	Significant achievements (in bullets)	Responsible consortium

2. Product/Process/Device developed and/or commercialized

3. Publications arising from the sub-project (Only research papers in peer reviewed journals):

4. Patents filed/granted, if any(Give list with title and patent/application No.):

5. Video films produced (Give list with title and year of production):

6. Assets generated, partner-wise

(Details to be given on equipment, works and facilities developed/procured in the sub-project)

(i) Equipment

S.No.	Name of the equipment with manufacturers name, model and Sr.No.	Year of purchase	Quantity (Nos.)	Total cost (₹)	Responsible consortium

(ii) Works

S.No.	Particulars of the work, name and address of agency awarded the work and site of construction	Year of work done	Quantity (Nos.)	Total cost (₹)	Responsible consortium

(iii) Revenue generated

(Details may be given on revenue generated in the sub-project viz., sale of seeds, farm produce, patents, commercialization, training, etc.)

S.No.	Source of revenue	Year	Total amount (₹)	Responsible consortium

7. Foreign trainings/visits from NAIP funds:

S. No.	Name, Designation, Address of the Scientist	Organization visited with full address and duration of visit/training	Area of training/ Study visit/ Conference, etc. (give Topic)	Dates of Seminar delivered and Report submitted on return	Follow up action

Part-III

(Reasons for extension of the sub-project)

1. Objectives/Activities that have not been achieved so far and new proposed activities (if any) to be taken up during the extended period (Give time scale):

S. No.	Objectives/Activities	Expected Start (Month/Year)	Expected Completion (Month/Year)
	(a) Already approved not achieved		
	(b) New activities proposed		

2. Reason for extension:

a. Full and convincing reasons to be given briefly as to why the work against the approved technical programme could not be completed during the sanctioned period.

b. Also give justification as to how the new activities proposed (if any) will help in achieving the objectives

c. Sub-project partner proposed to be dropped, if any, with justification

Part-IV
(Budgetary estimates)

Financial implications*:

1. Total sanctioned amount for the sub-project (₹ in lakhs):
2. Total expenditure of the sub-project up to last month(₹ in lakhs):
3. Estimated savings from the sub-project(amount to be refunded to NAIP) (₹ in lakhs):
4. Estimated expenditure of the sub-project during extension period (₹ in lakhs):

S. No	Head*	2011-12	2012-13	2013-14
1	Salaries			
2	Consumables			
3	Travel			
4	Contingencies			
Total				

*Head of expenditure to be same as in sub-project document.

5. Reasons for head-wise demand of additional amount for the sub-project:

*Also provide the Statement of Expenditure as per Appendix-1 separately for the Lead Consortium and for the Consortia Partners.

Signature of the Consortium Principal Investigator

Signature of Consortium Leader

Date

Date

APPENDIX-1

STATEMENT OF EXPENDITURE

(Period from -----to-----)

Sanction Letter No. _____

Total Sub-project Cost ₹ _____

Sanctioned/Revised Sub-project cost (if applicable) ₹ _____

Date of Commencement of Sub-project _____

Duration: From _____ to _____ (DD/MM/YYYY)

Funds Received in each year

I Year ₹ _____

II Year ₹ _____

III Year ₹ _____

Bank Interest received on fund (if any) ₹ _____

Total amount received ₹ _____

Total expenditure ₹ _____

Expenditure Head-wise:

Sanctioned Heads	Funds Allocated (*)	Funds Released			Expenditure Incurred			Total Expenditure	Balance as on date	Requirement of additional funds	Remarks
		1 st Year	2 nd Year	3 rd Year	1 st Year	2 nd Year	3 rd Year				
A. Recurring Contingencies											
(1) TA											
(2) Workshops											
(3) Contractual Services/RA/SRF											
Sub-Total of A (1-4)											
B. HRD Component											
(5) Training											
(6) Consultancy											
Sub-Total of B (5-6)											
C. Non-Recurring											
(7) Equipment											
(8) Furniture											
(9) Works (new renovation)											
(10) Others (Animals, Books, etc.)											
Sub-Total of C (7-10)											
D. Institutional Charges*											
Grand Total (A+B+C+D)											

* Institutional charges will be 10% of the recurring contingencies for the Lead Consortium and 5% for Consortia Partners.

Name & Signature

Signature of Competent

Principal Investigator :

Financial authority:

Date:

Date:

Part-V
(Remarks of Review Committee)

1. Observations and comments of the committee:

Signature:
Chairman and Members of Committee

Date:

2. Action taken on the recommendations of the committee:

Recommendations of the committee	Comments of NC on action taken by CL

Signature of the NC
Date:

3. Comments of ND, NAIP:

Signature of the ND
Date: