

**UNICEF / UNDP / World Bank / WHO
Special Programme for Research and Training
in Tropical Diseases (TDR)**

PROGRESS REPORTS, FINAL REPORTS & RENEWAL REQUESTS

SECTION A: INSTRUCTIONS

PLEASE DO NOT RETURN THESE INSTRUCTIONS WITH YOUR FORM

I. GENERAL INFORMATION

WHO/TDR requires the Principal Investigator to submit annual progress reports and a final report for each project supported by TDR. Progress reports comprise part of the project evaluation, and are essential for continued financial support of the project. A final report must be submitted in the required format upon completion of the project. The final report should summarise the course of the research and give in some detail the positive and negative findings of the work in relation to the objectives of the relevant Scientific Steering Committee or Task Force.

The Progress Reports, Final Reports and Renewal Requests form (TDR/REP(B)/FORM/01) is for use by Principal Investigators to make progress reports, requests for renewal or changes in scope, and final reports on research and development projects supported by TDR. Please note that projects supported by the Director's Initiative Fund or Project Development Grants are not renewable.

The form must be prepared in accordance with the instructions and guidelines given in this document. Please read all sections carefully before completing the form. All sections of the form must be completed, and the page limits imposed for the various sections must be strictly adhered to. To permit efficient processing of report forms, please do not write on the back of any page. Please number any additional pages as instructed on the form.

Please note that a financial report form (WHO 782 TDR) on the use of funds, signed by the Principal Investigator and the Institution's Chief Financial Officer, must be submitted to WHO/TDR as part of the annual progress reports, final report and renewal requests.

Please note also that when submitting a new proposal or a request for further funding, any outstanding scientific and financial reporting requirements for ANY previous or ongoing project funded by TDR must be finalised before further funding will be permitted.

II. GENERAL INSTRUCTIONS FOR COMPLETING THE REPORTING FORM

PART I. ADMINISTRATIVE INFORMATION

Note: Selected information from Items 1.1-1.6 may be made available to the general public.

1.1 Period Covered by this Report

Specify the period covered by this report.

1.2 Report Type

Indicate the type of report being supplied by placing "X" in the appropriate box.

1.3 Name and Address

First name(s) should be spelled out in full. Please give here the address at which you receive your professional correspondence.

1.4 Title of Project

The project title must not exceed the maximum of 120 characters.

1.5 Committee

State the relevant scientific Steering Committee or Task Force to which your project corresponds. If possible, please indicate in **section 1.6**, the disease(s) relevant to your project.

1.7 Publications and Patents

Investigators working on projects supported by TDR are urged to publish the results of their research. All publications should have an acknowledgement as follows:

"This investigation received financial support from the UNICEF / UNDP / World Bank / WHO Special Programme for Research and Training in Tropical Diseases (TDR)"

List under this section the full bibliographical references to all publications that have resulted from research supported by this grant during the period covered by the report. *Please enclose a reprint or photocopy of the listed publications.*

In cases where the Institution or the Principal Investigator has applied for or received a patent based in whole or in part on the research work, please supply the particulars of the patent including a substantive description and, where applicable, the patent application number(s).

1.8 Project Summary (for the period under review)

Provide a concise summary, not exceeding the space provided on the form, outlining all activities and progress of the project

PART II. BUDGET FOR THE FOLLOWING YEAR

This part should be completed even if you do not propose any changes in your original budget. If you do propose changes to your budget, explain this under 'Budget Justification' (Part II Item 2.4).

2.1 Budget Details

Budget details should be itemized under the budget lines indicated in the budget table in Item 2.1 of the form.

Reminder of funding restrictions

The financial resources available to the TDR Special Programme are limited and it is therefore necessary to restrict funding for certain types of expenditures. Please note the following restrictions:

Salary support for the Principal Investigator: TDR policy does not permit salary support for the Principal Investigator other than in exceptional circumstances, which must be fully justified by the Institution's Responsible Administrative Authority.

Overhead, administrative or miscellaneous expenses: TDR will consider financial support for activities, services or materials such as "overhead", "administrative" or "miscellaneous" expenses, e.g., secretarial, clerical, book-keeper salaries, and office supplies and utilities, only if they are directly related to the project, and items are specifically identified. TDR funds may not be used for meetings unless specified in the Technical Services Agreement.

Equipment operating costs: Funds provided by TDR may not be used for the running, maintenance, repairs or insurance costs of permanent equipment not purchased with TDR funds or supplied directly by it, except as otherwise agreed with WHO/TDR. Such operating costs may be supported by TDR for equipment purchased with TDR funds.

Publication costs: Publication costs, including the preparation of manuscripts and illustrations, are not normally funded.

Library support: Limited costs for library support for projects in developing countries may be considered, if justified.

Travel costs: Travel may be paid from TDR funds only if the travel is essential to the successful execution of the proposed work and itemised in the approved budget. TDR does not support travel for the purpose of attendance at scientific meetings.

Construction costs: TDR does not fund the cost of construction of new buildings or extensions of buildings, but will consider requests for modest alterations and modifications of existing premises, if such changes are essential to the successful execution of the proposed work.

If a final report is being submitted and it is desired to continue the project for a further period, a new research proposal must be prepared.

For annual progress reports, the budget proposed for the ensuing year (the second or third year of the project) should be given. Even if the amounts are the same as those estimated in the originally approved proposal, these amounts must be marked in the column "As originally estimated". If the amounts differ from those originally approved in principle for this year, the amounts must be marked in all three columns. For example, if it is desired to decrease the budget for personnel from US\$6000 as estimated to a new total of \$5000, write:

	As estimated	New total	Change
Personnel:	6000	5000	-1000

If proposed budget changes result only from such financial/monetary factors as price increases, exchange rate changes, etc., explain the changes briefly under Item 2.4, Budget justification. If budget changes reflect other than (or in addition to) financial monetary factors, expand under Item 2.4, Budget justification.

All budgets must be submitted in US dollars. Budgets in other currencies are not acceptable. If any budget line requires funds in any other currency, indicate the reasons for this under Item 2.4, Budget justification, of the proposal form, and give the conversion rate used.

2.2 Other Support for the Proposed Project

It is a strict requirement that any additional support for this project received since the start of the project be indicated here, with details of the amounts received and sources of funds. Such information must be provided both in progress reports and in final reports.

Indicate any other research activities for which the Principal Investigator is responsible that were not included in the original research proposal.

2.3 Amount Intended for Supplies and Equipment to be purchased by WHO through the WHO Trust Fund Mechanism

Consumable supplies and equipment, including chemicals, reagents, animals, animal food and other special items, may be purchased for the approved project from TDR funds. Requests for major equipment will be considered if local arrangements for service and maintenance are available. Equipment acquired under a Technical Services Agreement with WHO/TDR normally becomes the property of the Institution. Only in exceptional circumstances and with the consent of the Institution and TDR may equipment be transferred from the Institution prior to the completion of the project. The Principal Investigator and the Institution are responsible for the care and maintenance of equipment provided, unless otherwise specified in the Agreement. WHO/TDR may require in the Agreement that it supplies equipment to the Institution instead of providing the Institution with the funds to make the purchase itself.

If the Institution so requests, some of the funds awarded for the research project may be held in a WHO Trust Fund for purchase by WHO of supplies and equipment for the proposed work. Although delivery of goods may take from 6 to 12 months from the time the order is placed, some institutions may wish to avail themselves of this service in order to overcome currency problems, prolonged delays in obtaining supplies, and lack of access to a wide variety of suppliers. In addition, WHO may be able to obtain discounts that might not otherwise be available to an institution.

WHO does not maintain stocks of supplies or equipment but must order them through commercial channels. The prices obtained are generally the most advantageous available. The average processing time from receipt of a request at WHO to shipment by the supplier is three months. Substantially longer periods are required if the merchandise is not immediately available from the manufacturer, or if the Institution has not provided a full specification of the required item.

If it is desired to take advantage of this service, indicate in the space provided (Item 2.3 of the form) the amount in US dollars intended for supplies and equipment to be purchased through the WHO Trust Fund mechanism, and complete Annex B (form WHO 5367E TDR). The amount entered for supplies and equipment to be ordered through the WHO Trust Fund mechanism should include 20% for packing, freight and insurance (PFI) charges. Similarly, the amount entered for supplies and equipment to be ordered locally should include, if applicable, local PFI charges. It should be noted, however, that WHO is unable to process requisitions totalling less than US \$500.

WHO may act only upon instructions from the Institution, duly signed by the Principal Investigator, as follows: the supplies and equipment to be purchased by WHO must be listed, **in order of priority**, on request form WHO 5367E TDR. If additional pages are needed, continue the list on additional sheets, using exactly the same format as in form WHO 5367E TDR. It is essential that you follow the instructions for completing that form. You are not required to order all supplies and equipment at once; each order will be handled separately upon receipt, until the funds are exhausted or the Trust Fund expires. However, one advantage of ordering everything at once is savings on freight charges.

Items to be ordered by WHO must also be included in the budget justification. When the Agreement is signed and returned, the sum to be kept in trust by WHO for purchase of supplies and equipment must be entered in the appropriate place in the Agreement. Please note that trust funds held by WHO for purchase of supplies and equipment may **not** be used for any other purpose.

After a purchase has been approved, you will receive a copy of the WHO Purchase Order. The delivery date shown on the Purchase Order is the estimated delivery date ex works, **not the date of delivery to the recipient**. Experience has shown this estimated date to be optimistic. If a shipment has not been

received 60 days after this date and no explanation of the delay has been given, TDR should be informed of this fact

WHO is obliged to institute certain limitations on the time during which purchases of equipment may be ordered through the Organization with funds made available through a Technical Services Agreement. Accordingly, any balance of such funds which has not been used for purchases within the time specified by TDR (normally one year) will revert to WHO/TDR on 31 December following the year during which funds were awarded, unless special arrangements have been made with TDR. Hence, requests for purchases to be made by WHO should **arrive in Geneva before 1 September** of each year.

2.4 Budget Justification

The budget should clearly reflect the planned activities and the costs required. Justify each and every budget line, stating how the cost figures were derived in relation to the activities to be undertaken. Pay particular attention to major or unusual items. The following information should be provided for the various budget lines:

Personnel: For each person, give name (if known), position and salary requested, including percentage for fringe benefits if such benefits represent actual costs to the employer of benefits paid to the employee. Please note that TDR funds only research personnel and not administrative staff. Please recall that salary support for the Principal Investigator will be considered only in **exceptional** circumstances. Remember to attach the *curricula vitae* of all named research personnel.

Supplies: List separately the costs of the various categories of expendable supplies (e.g., laboratory reagents, glassware, field supplies). The amount entered for supplies to be ordered through the WHO Trust Fund mechanism should include 20% for packing, freight and insurance (PFI) charges. Similarly, the amount entered for supplies to be ordered locally should include, if applicable, local PFI charges.

Equipment: Give general justification for minor equipment and identify any piece of equipment costing more than US\$1000 (major equipment) and justify its purchase in relation to the work proposed. Give strong technical justification for your choice of equipment costing over US\$10,000. The amount entered for equipment to be ordered through the WHO Trust Fund mechanism should include 20% for PFI charges. Similarly, the amount entered for equipment to be ordered locally should include, if applicable, local PFI charges.

Animals: Specify species, number, purchase costs and costs of maintenance.

Patient Costs: Explain the nature of the costs (e.g., transportation, drugs for field trials) and method of calculation. Please note that the Special Programme does not support payment to patients as inducement to participate in research programmes, nor does it provide support for the costs of normal medical care of patients participating in TDR-supported studies.

Travel: Include in this item the costs of international travel, local transportation and field research expenses necessary for carrying out the proposed research. List separately the costs of transportation, *per diem* (indicate *per diem* scale paid by the Institution) and any other costs (specify). Please recall that TDR does not support travel for the purpose of attendance at scientific meetings.

Other Expenditures: Itemize under this budget line any other expenditures required for the proposed work.

PART III. SCIENTIFIC PROGRESS for the period under review

The information in this section is required to enable the Steering Committee or Task Force to assess technical progress under the project, and the project's continuing relevance to the scientific workplan priorities. Publications and theses attached to the report are not a substitute for this important descriptive part of the report.

Progress Reports

Provide sufficient details of scientific progress to permit evaluation by experts (add additional pages, if necessary, writing *on one side only* and numbering them as instructed on the form). Bring out clearly the extent to which progress has contributed to the objectives of the project. Unexpected findings (both positive and negative) problems should be interpreted in terms of their probable effects on the likelihood and cost of attaining the project's objectives.

Final Reports

These should be more detailed than progress reports. They should present and assess the findings, and indicate the degree to which project objectives were met, in sufficient detail to permit critical evaluation by experts. They should also indicate any potentially fruitful new lines of research indicated by the results of the project. (If the Principal Investigator wishes to pursue one or more of these lines, a new research proposal form should be completed and sent to the Director of TDR, preferably in time to be considered by the Steering Committee at the same meeting at which the Principal Investigator's final report is to be reviewed.)

Additional pages, including graphs and tables, should be attached if they relate to the work reported on. (Please write on *one side only* of additional pages and number them as instructed on the form.)

PART IV. PLAN OF WORK FOR THE FOLLOWING YEAR

This must be completed in every progress report and should provide a clear description of work planned for the coming year, including any major changes from the previously approved project, with their justification. If changes require budgetary modifications, these must be clearly indicated. Use additional pages, if necessary, writing on one side only and numbering them as instructed on the form.

If the proposed changes involve new or altered protocols for research on human subjects, or if they incur any health hazard to human subjects, the changed plans must be approved by the Principal Investigator's institutional ethical committee and national ethical committee, if such exists. Evidence of this approval must be sent to TDR with the research proposal form. The revised plans will also be reviewed by the WHO Secretariat Committee on Research Involving Human Subjects (SCRIHS).

ANNEX A. CURRICULA VITAE OF OTHER SCIENTISTS INVOLVED

Please provide the curricula vitae of any new investigators or other scientists, trainees or fellows who will be involved in the project but whose CVs were not attached in previous documentation. Please note that a change of Principal Investigator must be approved in advance by the Director of TDR.

ANNEX B. REQUEST FORM FOR SUPPLIES AND EQUIPMENT TO BE PURCHASED BY WHO THROUGH THE TRUST FUND MECHANISM

ANNEX B. Form WHO 5367E TDR is to be used to specify supplies and/or equipment which the Institution would prefer to order through the WHO Trust Fund mechanism rather than directly from the manufacturer or local distributor. Please refer to Part II, Item 2.3. If it is desired to take advantage of this service, Form WHO 5367E TDR should be completed in accordance with the instructions. Please list each item and amount: including packing, freight and insurance (PFI) charges, estimated at 20% of the purchase cost if no better estimate is available.

SUBMISSION OF REPORTS

1. How to Submit Reports

The original plus two copies of the completed report form should be submitted to TDR; a further copy of the form should be retained for your records. Please ensure that all required signatures have been obtained. Report forms should be completed and returned to:

Office of the Director
Special Programme for Research and Training in Tropical Diseases (TDR)
World Health Organization
1211 Geneva 27, Switzerland
Fax: +41 22 791 4854
Email: tdrgrant@who.int

2. Further Information

Further information can be obtained on request from:

Communications Unit
Special Programme for Research and Training in Tropical Diseases (TDR)
World Health Organization
1211 Geneva 27
Switzerland
Tel: 41 22 791 3725
Fax: 41 22 791 4854
Email: tdr@who.int
Web: <http://www.who.int/tdr/>