MAKERERE UNIVERSITY

Grants Administration and Management Policy

2020

ABBREVIATIONS AND ACRONYMS

DVC (F&A)	Deputy-Vice Chancellor for Finance and Administration
FOA	Funding Opportunity Announcement
GAMSU	Grants Administration and management Support Unit
GMSC	Grants Management Steering Committee
PI	Principal Investigator
PD	Project Director
MoU	Memorandum of Understanding
VC	Vice-Chancellor

OPERATIONAL DEFINITIONS

Affiliated Persons: These are persons working within organisations that have official working relations with Makerere University or those with honorary University appointments.

Contractor: A contractor is a funding agency which does not issue a grant solicitation but contracts a University unit to perform specific tasks as outlined in a given term of reference.

Department: A unit of the University devoted to a specific discipline.

Donation: Something of value such as goods or money given freely to the institution for charitable purposes to benefit a cause

External Funding: Finances that the University receives from outside the university.

Financial interest: Anything of monetary value whether or not the value is readily ascertainable.

Grant: A grant is a non-repayable fund disbursed by one party often a government department, corporation, foundation or trust, to a recipient, often (but not always) a non-profit entity, educational institution, business or an individual.

Grants Committee: A Committee of the University unit whose mandate is to provide oversight of the unit's Grants Office.

Key Personnel: Principal Investigator/Project Director and any other person identified as senior/key personnel by the University/College in the grant application.

Project Overheads: These are also known as institutional costs or indirect costs or facilities.

Administrative Costs: These are expenses that are incurred for common or joint objectives in the University and cannot be easily and specifically identified with a particular project.

Pre-award: Activity prior to official funding of a submitted proposal.

Post-award: Activity after official funding of a submitted proposal.

Principal Investigator: This the lead person in the implementation of the project. S/he is the link between the University and the donor and takes responsibility for the success of the project.

Solicitation: A document which provides the requirements and instructions for the submission of applications for funds to sponsors by eligible applicants.

The University: Refers to Makerere University

Makerere University Unit: Refers to a any component of the official structure that is mandated to undertake a specific role i.e. Departments, School, Institutes, College and/or Directorates of the University.

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1.0 POLICY STATEMENT

Makerere University is committed to maintaining a conducive environment for fundraising of revenue to support research, infrastructure development, and other activities of the University whilst practicing the highest standards of accountability and efficient management of grants.

2.0 BACKGROUND

Makerere University aspires to provide innovative teaching, learning, research, and services responsive to national and global needs. Makerere is a premier institution of higher learning in Uganda with a vision of becoming the leading institution of academic excellence and innovations in Africa.

Until the 1990s, the University was largely dependent on funding from the Government of Uganda. This status changed gradually with the University diversifying its funding sources to include tuition fees, gifts, investments, grants, and contract awards from various agencies.

In its strategic plan for the period 2020—2030, the University set out to reposition itself as a research-led institution to deliver a highly productive workforce. This requires, among others, a robust grants administration and management system to support implementation of the Universities activities.

3.0 CORE VALUES

The University core values form the foundation on which it delivers its services and defines the way in which staff interact with each other and with the students and collaborating partners. In addition, the core values support the University's mission, shape its culture, and reflect what it stands for. The core values include the following:

i) Accountability

ii) Respect

iii) Integrity

iv) Professionalism

v) Inclusivity

4.0 CITATION

This policy may be cited as the "Makerere University Grants Administration and Management Policy, 2020.

5.0 RATIONALE OF THE POLICY

Various units (Departments, Schools, Colleges and Directorates) of the University have been successful in soliciting and obtaining grants leading to a substantial grants portfolio within Makerere University which offer great opportunity for research and training. The development of this policy is, therefore, intended to streamline the administration and management of grants and contracts within the various units of the University as well provide a supportive ecosystem for grants mobilisation and management.

6.0 SCOPE OF THE POLICY

This policy applies to all grants for research, training, programmes, consultancies, infrastructure, and service delivery applied for by faculty and persons affiliated to Makerere University. The funding can take the form of grants, contracts, or cooperative agreements, gifts, and donations.

To delineate the policy scope to cover the entire ecosystem of grants and sponsored programmes, for avoidance of doubt, the policy shall cover the following:

a) Identification of funding opportunities;

b) Proposal development and submission;

c) Award negotiation and acceptance;

d) Financial account set-up;

e) Award management; and

f) Award closeout.

7.0 OBJECTIVES OF THE POLICY

i) To establish a framework for grants mobilisation and management within the University;

ii) To create a platform to track and monitor grants within the University;

iii) To establish strategic global partnerships with other institutions with the intent to solicit funds for scholarships, research and infrastructure development;

iv) To provide guidelines through which projects funded by grants link to existing laws, policies and regulations governing Makerere as a Public University;

v) To define the roles of different University officials in the mobilisation, management, and administration of grants at the University.

8.0 STANDARD OPERATING PROCEDURES

The management of grants at the University shall not contradict policies and the relevant legal provisions governing the operations of the University as well as public finance management.

The following Standard Operating Procedures (SOPS) shall be adhered to:

a) The University shall declare the grants to the Ministry of Finance, Planning and Economic Development and the grants shall be included in the budgets of the Colleges/Units that initiated the grant and overall University budget in accordance with existing laws, regulations, and policies;

b) Makerere University Council shall approve the grants and pronounce itself on the conditions and obligations attached to each grant before funding can be accessed. This pronouncement shall form part of the budget estimates approved by the University Council in the budget approval meeting;

c) All grants expected in a financial year shall be communicated to the University Council on the basis of which the Vice-Chancellor shall sign grant contracts as and when they are due;

d) Each grant shall have an operation, monitoring and closure plan to fit within the overall University plan;

e) Grant assets shall form part of the University assets;

f) A University employee attached to a given grant or project shall be issued a letter to that effect by the University;

g) The staff who has a grant or project in the process of approval shall declare it to the University so that it is included in the budget estimates of the University;

h) A member of staff who is part of a consortium which wins a grant shall declare the grant to the Vice-Chancellor;

i) Publications arising out of grants shall have a recognition of Makerere University;

j) Copyrights and intellectual properties from grant shall be shared between the University and the funders on mutually agreed terms;

k) Proceeds from a grant innovation by a member of staff shall be shared between the University and the innovator in the ratio of 80%:20%;

l) Royalty sharing after commercialisation of grant innovation shall be in the ratio of 20% and 80% for the University and the innovator (after the innovator ceases being member of staff of the University);

m) The grant closure report shall be tabled before Makerere University Council.

9.0 ESTABLISHMENT OF THE GRANTS ADMINISTRATION AND MANAGEMENT SUPPORT UNIT (GAMSU)

(a) There shall be a Grants Administration and Management Support Unit with the following functions:

i) Undertake regular mapping and maintain an up-to-date database of grants and funding opportunities and ensure that these opportunities are communicated to faculty and staff in a timely manner;

ii) Ensure that Makerere University is registered with various funding agencies wherever necessary;

iii) Support faculty and other staff of the University in the preparation of grants applications including the following;

1. Eligibility checks for grant opportunities;

2. Proofing adherence to application guidelines;

3. Appropriate formatting of proposals;
4. Compliance with University regulations;
5. Clearance from relevant University departments and officials;
6. Securing necessary support documents such as audit reports, registration certificates and other required information that may be available;
7. Advising on budget requirements and supporting the budget processes including ensuring that applicable administrative fees as well as staff and auditing costs are provided for;

iv) Support award winners in the grant negotiations and coordinate with relevant University authorities for the signing processes;

v) Liaise with relevant University authorities for project account set-up wherever necessary;

vi) Follow-up with Principal Investigators to ensure timely compliance with grant contract conditions and University policies;

vii) Ensure that concluded projects are appropriately closed out in accordance with University policies and guidelines;

viii) Maintain a database of all grants in the university;

ix) Ensure that all projects comply with the laws and policies of the University;

x) Be the Secretariat to the Grants Management Steering Committee;

xi) Undertake monitoring, evaluation and quality assurance in the execution of grants at the University; and,

xii) Prepare quarterly reports in accordance with the provisions of this policy.

(b) The Grants Administration and Management Support Unit shall be comprised of the following:

i) The Unit Head who shall be appointed by the Vice-Chancellor upon approval by the University Council;

ii) Such other staff as may be determined by the University Management as necessary for the effective operations of the Unit, such as Financial Advisor, Monitoring Evaluation and Learning Advisor, Legal and Compliance Advisor, among others.

(c) The Unit Head shall report to the Deputy Vice Chancellor (F&A). Other staff within GAMSU shall report to the Unit head.

(d) There shall be a Grants Management Steering Committee (GMSC) with the following responsibilities:

i. Consider and approve workplans for Grants Administration and Management Support Unit;

ii. Consider and approve reports of the Grants Administration Support Unit before they are submitted to the University Management;

iii. Provide leadership and advice on mechanisms to improve monitoring, benchmarking and reporting performance under grants;

iv. Support the University to build linkages with Government, the private sector/industry, civil society, and other research institutions to strengthen the grants portfolio;

v. Consider and approve events to facilitate the exchange and dissemination of research and innovations under the grants;

vi. Provide an arbitration mechanism on any conflicts that may arise within grants administration and management within the University;

vii. Advise the University management on research, innovations and grants management issues that may arise

(e) The GMSC shall be comprised of the following:

i) The Deputy Vice Chancellor (F&A) who shall be the Chairperson;

ii) The University Secretary;

iii) Three (3) members appointed from Science-based Colleges;

iv) Two (2) members appointed from Humanities/arts-based Colleges;

v) One (1) member from the Directorate of Research and Graduate Training; and

vi) One (1) member from the Directorate of Finance, Planning, Investment and Administration;

(f) The Head of the Grants Administration and Management Support Unit shall be Secretary to the Committee.

(g) The Committee shall have a Vice-Chairperson who shall be appointed by the Vice-Chancellor from amongst the representatives in Section 9.0(e) (iii) and (iv);

(h) A Grant that exceeds UGX 1.0 Billion may have a specific Grant Steering Committee appointed by the Vice Chancellor. Such a Committee shall be responsible to the University Grants Management Steering Committee specified in Section 9.0 (d).

10.0 UNIVERSITY GRANTS MANAGEMENT STRUCTURE

Subject to the provisions of the Public Finance Management Act, 2015 (as amended), grants and donations to the University shall be received by the Accounting Officer and shall be managed by GAMSU.

11.0 ROLES AND RESPONSIBILITIES OF DUTY BEARERS IN GRANTS ADMINISTRATION AND MANAGEMENT

11.1 Makerere University Council

The University Council shall be responsible for appropriation of all grants and donations received by the University and for the formulation of governing policies.

11.2 Vice-Chancellor:

The Vice Chancellor shall be responsible for:

a) the implementation of this policy;

b) providing oversight to the Grants Administration and Management Support Unit;

c) appointment of the Head of the Grants Administration and Management Support Unit;

d) signing all grant agreements, contracts and MoUs with funders on the advice of the Grants Administration and Management Support Unit in consultation with the Directorate of Legal Affairs;

e) appointing of the Grants Management Steering Committee; and,

f) appointing other grants specific steering Committees in line with Section 9.0 (h) of this Policy.

11.3 Deputy Vice-Chancellor (Finance and Administration)

The Deputy Vice Chancellor (F&A) shall:

a) chair the Grants Management Steering committee; and

b) be responsible to the Vice-Chancellor for the overall coordination of all grants and donations in the University.

11.4 University Secretary

The University Secretary shall:

a) be a member of the University Grants Management Steering Committee; and

b) be the Accounting Officer of all grants and donations.

11.5 University Bursar

The University Bursar shall be responsible for:

a) the establishment of project specific accounts/ledgers;

b) processing of payments in accordance with the principles governing the grant;

c) ensuring timely accountability of disbursed funds;

d) submission of financial reports; and

e) supporting financial audits of projects funded by grants;

11.6 Principal Investigators (PI)

The PI is responsible for;

a) Ensuring successful initiation, negotiation, execution/implementation and closeout of the project;

b) review of the contract/notice of award in its entirety and paying close attention to all elements of the agreement in accordance with this policy and the limitations under this policy;

c) initiating project activities, payment schedules, and workplans;

d) ensuring that new and existing staff are aware of grant conditions;

e) be the main point of contact with donor representatives for the specific grant;

f) compliance with Makerere University and funders requirements;

g) supervising and management of the project implementation team;

h) ensuring timely and accurate reporting;

i) initiating budget modifications e.g., redirection, carryovers and project extensions (cost and no-cost); and

j) Preparing and submitting relevant reports in accordance with the provisions of this policy.

11.7 Director Legal Affairs

The Directorate of Legal Affairs shall:

a) Review contracts/notice of award documents for compliancy with University policies and regulations before signature by authorised officials;

b) Advise on the content of sub-award contracts/memoranda of understanding in cases where the University subcontracts third parties.

11.8 Director Internal Audit

The Director Internal Audit will have overall responsibility for audit of Grants.

11.10 Staffing of the Grants Administration and Management Support Unit

a) The Grants Administration and Management Support Unit shall have a Head of Unit recruited on contract;

b) The GAMSU shall have such other staff as may be determined by the University Management as necessary for the effective operations of the Unit, such as Financial Advisor, Monitoring Evaluation and Learning Advisor, Legal and Compliance Advisor, among others.

c) The Head of Unit shall be at a minimum rank of Associate Professor

d) The remuneration of the Head of the Grants Administration and Management Support Unit shall be determined by the University Council from time to time;

e) Where a specific project provides for staffing for its implementation and has budgetary provision for this purpose including job specifications, such staff shall be recruited in accordance with the terms and conditions of the project.

12.0 PERMISSIBLE GRANT

For compliance with National practices guiding research and grants, the University shall not solicit for or receive grants and donations under the following categories:

a) Grants from terrorist organisations or from organisations linked thereto;

b) Grants from other organisations prohibited from operating in Uganda by the Government of Uganda;

c) Grants that are targeted at promoting social disorder in whatever form; and

d) Grants which promote racial, religious, gender or any other type of discrimination.

13.0 PRE-AWARD MANAGEMENT PROCESSES

This covers all the activities that take place prior to obtaining a grant. It commences with identification of an appropriate funding opportunity to submission of a proposal.

13.1 Registration on funding platforms

A number of funders require that institutions register on their grants platforms before allowing electronic submission of proposals. Registrations to donor platforms will be managed by the Grants Administration and Management Support Unit which will provide grant submission credentials to all the Grants Offices. In cases where registration is initiated by the Grants Offices at college, login credentials should be shared with the Central Grants unit. Registrations peculiar to a given college may be maintained at the college Grants Office however the Grants Administration and Management Support Unit needs to be informed.

13.2 Solicitation

The Grants Offices shall share appropriate funding opportunities with students, faculty and other staff. Faculty and authorized affiliated persons will submit proposals to sponsors including Government, private institutions, foundations, non- profits, educational institutions and other organizations for support.

All intending applicants shall notify their immediate Grants Office of their intention to respond to a given funding opportunity or to participate in any sponsored partnership. The immediate Grants Office shall then inform the Central Grants Office of this intent to apply. This allows Grants Offices to avoid multiple applications within the institution where they are not acceptable to the donor.

The Grants Office shall provide support right from pre-proposal contact with donors where applicable to submission of the proposal.

13.3 Proposal Development

The individual designated as the Principal Investigator (PI)/(PD) is responsible for preparation of the proposal following University policies and procedures as well as guidelines issued by the anticipated funding agency. The PI shall be assisted by a team composed of internal and external participants to develop the proposal. The PI shall be responsible for ensuring quality and completeness of the proposal as well as appropriateness of the proposed project team.

The Grants Office shall support the proposal developer in various ways including developing a checklist for proposal development, editing proposal documents, compiling relevant support documents, providing the required templates, budget, and budget justification development. In addition, the Grants Office shall coordinate with procurement and legal offices where necessary. Grant project budgets shall be made to include all appropriate costs such as direct project costs as well as institutional facilities and administrative costs (indirect costs). Any cost sharing commitments shall be made with approval of the University Council. Project budgets shall comply with all the legal requirements of Uganda.

13.4 Proposal submission

Prior to submission to the funder, applicants for grant proposals will receive the support of the GAMSU in areas such as administrative and budgetary review of the proposals for completeness, accuracy of information, legal appropriateness, inclusion of the appropriate institutional administrative costs and adherence to the sponsor's/FOA guidelines and the laws of Uganda.

13.5 Partnerships and Sub-contracting

University staff or students may apply for grants in partnership with other institutions when required. The University may partner with relevant and complementary institutions when applying for grants. The University shall carry out due diligence on its partners and ensure that teaming agreements are put in place and signed by the authorised officers of the University.

13.6 Relationship with other University Policies

This policy shall be implemented jointly with other laws, policies and regulations governing the University including the Acts of Parliament, Ministerial Policy Instruments, government circulars and regulations, and relevant statutes enacted by the University Council.

14.0 POST AWARD MANAGEMENT PROCESSES

Post award processes cover all aspects of grant management following receipt of the award. The post award processes begin when the designated officer receives a notification from a sponsor of their willingness to fund an activity and ends at grant close-out when the final report including other deliverables are submitted to and accepted by the funder.

14.1 Negotiating and accepting the award

Contract negotiation and acceptance of the award shall be done by the Principal Investigator of the project and shall be communicated by the Head of GAMSU to the Vice-Chancellor for approval. The Vice-Chancellor shall ensure that any grant contract to be signed is part of the grants or donations declared to the University Council. Negotiation will include a thorough review of the award terms and conditions by the University legal office before an award is signed. A copy of this award must be filed with the Grants Administration and Management Support Unit. A Grant Contract will only be binding on the University after the University Council has pronounced herself by including it in the annual budget estimates.

14.2 Project implementation

The PI shall have overall responsibility of implementing the project and ensuring its success. The PI shall be responsible for project initiation – bringing all key stakeholders on board, requesting account set-up, obtaining ethical approvals, ensuring that the right cadres of staff are hired following existing procedures set out by the Appointments Board, and all the necessary supplies and equipment are acquired through the existing procedures.

14.2.1 Opening of a project account

In cases where funders require a project specific bank account or an interest-bearing account, authority to open an account will be obtained from the University Accounting Officer following existing laws, policies and regulations on account opening.

14.2.2 Setting up sub-award recipients

Where an awarded grant requires the participation of sub-recipients, the GAMSU will be responsible for preparing sub-award agreements and ensuring that they are signed by the designated official.

14.2.3 Procurement

Procurement for funded projects is subject to the Public Procurement and Disposal of Assets Act (PPDA) of Uganda. In general, all procurements must be allowable according to both the University and funders regulations. All procurements will be done by the established procurement offices of the University.

14.2.4 Equipment and property management

Unless otherwise specified in the funding agreement, all property procured using grants awarded to Makerere University will remain the property of the University. All procured equipment will be registered in asset registers as stipulated in the University policies. Disposition of acquired equipment and property will follow the provisions of the PPDA Act.

14.2.5 Financial Management of Grant funds

Financial management of grant funds will be done based on approved budgets included in the funding agreements. Requisition of funds will be done according to the University financial management procedures. Requests for budget modifications including carry-over, redirection, re-budgeting, and no

cost extensions will be prepared and submitted by the GAMSU following consultation with the Principal Investigator.

14.2.6 Compliance & Reporting

Grant compliance involves having proper policies and procedures in place as well as strong internal controls. It entails following the generally accepted procedures (GAP), proper procurement procedures, as well as strong internal controls. Grant compliance mitigates the risk of misuse of funds.

The GAMSU shall provide the following:

a) Monitoring the grants budgets for proper use of funds and ensuring that fund guidelines on procurement and inventory are met;

b) Preparing regular monitoring and evaluation meetings with project heads to review performance and guide on the necessary adjustments within approved budgets;

c) Facilitating the preparation of reports and documentation required by grantors by providing a one-stop reporting center for all awarded projects; and,

d) Coordinating the audit responses and other project related activities.

14.2.7 Makerere University reports

a) Every PI shall submit a quarterly report to the Grants Administration and Management Support Unit including the following:

i. physical performance of the project including progress on implementation of the project, quantifiable outputs and outcomes, challenges experienced and mitigation measures;

ii. financial report including bank reconciliations and statements, summary of income & expenditure statements;

b) The GAMSU will prepare a consolidated quarterly report on grants within the University including:

i. physical performance of the projects including progress on implementation of the projects, quantifiable outputs and outcomes, challenges experienced and mitigation measures;

ii. financial report including bank reconciliations and statements, summary of income & expenditure statements;

iii. key grants management indicators including the number of funding opportunities shared, number of submitted proposals, number of grants and total amount awarded, updated schedule of PI's, number of active grants including their duration and the number of successfully closed out grants and budget performance reports per grant;

c) The report from GAMSU will be submitted to the Vice-Chancellor with copy to the University Accounting Officer following approval of the GMSC.

14.2.8 Funder reports

The GAMSU shall maintain a summary of all funders' reporting guidelines and a schedule of all reporting dates for all running grants. GAMSU shall be responsible for sending out reminders of approaching reporting dates to PIs and ensure compliance. Funder reports shall be submitted in compliance with guidelines set out by the funders.

15.0 GRANT CLOSE-OUT

Grant close-out is a critical stage in the grant life cycle and this stage shall commence before the grant end date. It is the responsibility of GAMSU to ensure proper close-out of all funded projects within the University.

15.1 Funder's requirements for grant close-out

Before the grant period ends, the PI shall receive a notification from the funder indicating the expected date of project close-out. The PI will work with GAMSU and other key offices such as the Finance and Procurement offices to ensure that all grant obligations are taken care of. Depending on the amount of funds left and the remaining project activities, the project may seek a no-cost and no additional obligation extension to allow additional time for completion of project objectives. In case of any additional obligations, Council approval shall

be obtained. In circumstances where there is no additional time required, the final required reports i.e., technical and financial reports shall be prepared. Additionally, a final audit will be carried out and a report submitted to the funder with a copy to GAMSU. The GAMSU shall ensure that all project documents are archived for duration of time that is stipulated by both the funder and University guidelines.

15.2 University requirements for grant close-out

The GAMSU shall ensure that a grant coming to an end provides information through a Makerere close-out template that will include the list of assets and their location, a copy of the final reports including funder technical and financial reports and a copy of audit report. GAMSU shall ensure that all University requirements are met before signing the project off.

16.0 OVERHEADS AND ADMINISTRATIVE COSTS CONSIDERATION IN GRANTS

Overheads also known as indirect costs or facilities and administrative costs are incurred for common or joint objectives and cannot be easily and specifically identified with a particular project or institutional activity. Therefore, the terms indirect costs, overhead costs, and facilities and administrative costs are synonymous.

These costs relate to the use of an institution's facilities and administrative support but cannot be claimed as direct costs. Overhead costs are critical to implementation of institutional activities and are important for the success of institutional projects as well as for the institution hosting the project as they are incurred for common objectives within the institution.

While some funders/donors prescribe the percentage of the overhead to be charged on a grant, others allow for institutions to use their own rates, yet others simply do not allow over-head on grant. In order for Makerere University to be competitive, an overhead cost of between 5-15% will be charged on grants. Where the above percentages are not applicable and require a waiver, a University Council decision shall be sought through the Vice-Chancellor.

16.1 Project Overheads Distribution

Where overheads are allowable on a grant, the total collectable overheads shall be equated to 100% and follow the following distribution:

a) Central Administration 50%

b) Relevant College(s) 10%

c) Relevant School(s) 10%

d) Relevant Department(s) 20%

e) Principal Investigator 10% (Preserved strictly for academic work)

16.2 Use of Project Overheads

Use of University project overhead costs include building and equipment depreciation, allowances, general administration; sponsored project administration expenses, operation and maintenance expenses, library expenses, and student administration and services expenses.

Thus, overhead costs are the related costs of using the University's facilities and administrative support to a project that cannot be claimed as direct costs. Despite this generally accepted understanding of the use of overheads, specific funders may stipulate what the overheads in the supported study or project may cover.

16.3 Use of Administrative Costs

Project administrative costs include payment of sponsored projects administrators, space rental, utility costs, maintenance of equipment and buildings, library expenses, consultancy services such as legal, audit, promotional/advertisements, secretarial, memberships and subscriptions, postage, bank charges, staff capacity building, staff welfare amongst other administrative expenses.

It should also be noted that some funders may not allow overheads nor direct costs, but instead expect the project to be a shared responsibility in which the host institution meets these costs as her contribution to the project. In such cases, the Vice-Chancellor and Management shall inform the University

Council of the strategic importance of the project and seek approval to undertake co-funding.

Approved during the 150th meeting of Council held on 17th December 2020

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Lorna Magara (Mrs.)

CHAIRPERSON OF COUNCIL

.....

Yusuf Kiranda

AG. UNIVERSITY SECRETARY