

## Project Document

# Weather and Climate Information SERVICES for Africa (WISER)- FUNDED Climate Research for Development (CR4D) Research Grant Management

## I- INTRODUCTION

The Weather and Climate Information SERVICES for Africa (WISER) Programme, funded by the Department for International Development (DFID), is working to improve the generation and use of the weather and climate information across Sub-Saharan Africa. The programme has two main parts:

- a) A regional ‘pilot’ East African Component focussing on the Lake Victoria Basin and surrounding region (Burundi, Ethiopia, Kenya, Rwanda, Tanzania and Uganda) and aimed at improving the quality and relevance of weather and climate information and supporting its uptake and use. The Fund Manager for this part is the UK Met Office. It is envisaged that this regional initiative will provide a ‘proof of concept’ to inform the development of other regional initiatives in imminent subsequent phases.
- b) A pan-African Policy and Enabling Environment Component (PEEC) focussing on improvement of the governance and enabling environment for weather and climate services. This will be delivered through support to the Africa Climate Policy Centre (ACPC).

As part of the pan-African PEEC, WISER aims to support African-led climate science research. It will do this by supporting the Climate Research for Development (CR4D) in Africa initiative, a partnership between the ACPC of United Nations Economic Commission for Africa (ECA), the African Ministerial Conference on Meteorology (AMCOMET), the World Meteorological Organization (WMO), and the Global Framework for Climate Services (GFCS).

To take forward this support, ECA with DFID support under WISER-PEEC aims to pilot a small but potentially scalable research grant management facility in a suitable African institution that will support CR4D research priorities as defined by the CR4D Scientific Advisory Committee (SAC).

## II- OBJECTIVES

### 2.1. Main objective

The overall objective of the initiative described by this project document is to collaborate with ECA and DFID in supporting the Climate Research for Development (CR4D) agenda by providing both research programme funding and an efficient and

responsive research commissioning and management facility that able to deliver against the CR4D research priorities.

## 2.2. Specific objectives

Specific objectives of the Grant Management facility include:

- a) To develop a comprehensive workplan and detailed timeline and budget at the end of the inception period;
- b) To develop and coordinate a robust system for research competition ‘calls’ in consultation with the CR4D secretariat;
- c) To effectively and efficiently manage the research ‘calls’ processes in line with agreed procedures (including for example: answering queries from potential applicants, receiving and collating proposal documentation, facilitating the peer-review of bids, collating and summarising reviewer comments, organising and facilitating selection panels, and consolidating panel assessments and overall rankings);
- d) To make funding recommendations based on the above to the Project Executive Committee (PEC) via the CR4D Secretariat;
- e) To manage various research grant management support mechanisms – such as assisting with scoping of future calls, synthesis and translation work, capacity building support to grantees etc;
- f) To undertake routine due diligence of preferred bidders (or grantees) selected by the PEC;
- g) To make and manage awards to successful bidders (or grantees);
- h) To undertake routine monitoring and evaluation (M&E) of funded projects, covering both financial and technical aspects.

## III- APPROACH TO WISER-FUNDED CR4D RESEARCH GRANT

- 3.1. In securing the services of a WISER-funded CR4D ‘Grant Manager’, ECA in collaboration and support of DFID are jointly aiming to establish a grant management and administration system that supports the core principles set out below:
  - a) *Meet high quality technical and operational standards:* Commissioning transparent, high-quality, independent and objective research, with robust grant administration and management systems. Review and selection of projects must meet technical and operational standards consistent with high-quality international research funding.
  - b) *African-owned:* the grant manager should be hosted by an Africa-based institution.
  - c) *Demand-driven priority research.* Research commissioned that is closely aligned with processes that have strong legitimacy in identifying and prioritising demand from the user community across African climate science and climate policy communities.
  - d) *Broader recognition:* Earn broader recognition within the African climate science community and other stakeholders in the continent. Trusted and independent.
  - e) *Efficient and effective management of grants:* Ensure timely delivery of research and tracking of progress and outputs.



- f) *Longevity and scalability*: the programme is designed for the longer term but starts small and grows/evolves based on experience and results.
  - g) *Attract multiple donors*: Set up with the longer-term ambition of attracting funding from additional donors in mind. As such, costs must be competitive (or better) when compared with alternative grant funding routes.
  - h) *Registration*: the grant manager must be formally registered to do research grant management and administration in its host country.
- 3.2. Given the scope of the CR4D initiative, it is anticipated that the Grant Manager may from time to time need to draw on external technical capacity and expertise in specific areas pertinent to the yet to be identified areas of research focus. It is also anticipated that the Grant Manager will provide implementation support to grantees across a range of areas as required. A separate budget line will, therefore, be agreed with the Grant Manager to cover such costs. This will be agreed as part of the inception stage.
- 3.3. This project document is for a pilot initiative over a relatively short period ending March 2020. However, the design of Grant Manager entity should be such that it should be capable of being scaled up or down at the end of this period. It should also be designed such that other potential donors can utilise the facility to support CR4D ambitions.
- 3.4. The generic characteristics and capabilities sought in the Grant manager institution are described in section VI as implementation requirements.

#### **IV- ENVISAGED ROLES OF THE GRANT MANAGER**

- 4.1. The intention of this project document is to secure the services of a suitable grant manager, based in Africa and able to commission and manage Africa-wide research grants on behalf of CR4D. The Grant Manager must, therefore, be able to routinely commission and manage grants arrangements efficiently in multiple currencies, and be able to receive payments in US dollar (and/or potentially other foreign currencies including Pounds Sterling). The envisaged roles of the Grant Manager are set out in details in **Annex 1 and 2**. However, the final details will be developed jointly with the grant manager during an inception stage<sup>1</sup>. In general terms, the roles of the Grant Manager are expected to cover:
- a) *Research commissioning* – i.e. issuing of research competition ‘calls’<sup>2</sup>.  
Note: the focus and priorities for research is expected to be set by the CR4D Scientific Advisory Committee (CR4D-SAC) while the Secretariat, CR4D-SAC and grant manager will develop the core science

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<sup>1</sup> Inception stage. Grant Manager will develop a more detailed work-plan and budget for approval by ACPC/CR4D-SAC /DFID. Details will include the grant competition, selection, awarding and management (including monitoring and evaluation) processes. Together these will comprise the Grant Managers Standard Operating Procedures (SOPs).

<sup>2</sup> Once all parties agree to the details of the Grant Management SOPs and the CR4D SAC have selected the focus for the first call, the Grant Manager will develop the full documentation package for the first competitive call. This will be done in consultation with PEC.



elements of the call documentation. The Grant Manager will facilitate the reviewing process but a separate committee (i.e., Project Executive Committee, PEC<sup>3</sup>) will make decisions on shortlisting and final selection of granted projects. Alongside standard competition ‘calls’, the grant manager may also be asked to support other pieces of related work, including detailed scoping work, support to grantees and learning related work. Budget to cover this will come from the separate budget line, details of which, including the scope and value will be agreed during the inception period. The grant manager may also be required to work closely with specific sectoral or thematic working groups established by the CR4D Secretariat and CR4D-SAC with regard to the design and set up of calls etc.

- b) *Grants administration and management*: including financial due diligence of grant recipients as required. Details on the post award engagement required is given in **Annex 3**.
- c) *Tracking/monitoring of progress and outputs*. At the overall Grant Manager ‘Programme level’ as well as at individual ‘sub-Project’ level.
- d) *Grant Implementation support*. This might include (limited) advice to grantees on reporting and financial/administrative requirements, advice on their own monitoring and evaluation (M&E) processes, advice on research uptake and communications. This may be delivered directly to grantees or via collective workshops /writeshops etc.
- e) *Raising awareness of CR4D in the African research community*: ensure adequate number and quality of responses to CR4D research calls/competitions.
- f) *Working closely with the ACPC Secretariat for CR4D*: where requested by the Secretariat, the grant manager will work with the CR4D-SAC or its Working Groups on WISER-funded research grants.

## V- GENERIC GRANT MANAGEMENT LIFE CYCLE

5.1. Under the current WISER project, it is expected that the Grant Manager will run at least 2 (two) separate and semi-sequential standard research competitions or ‘calls’, with the second drawing on lessons from the first and making any necessary adjustments as agreed with all parties involved in this endeavour. The proposed detailed generic grant management life cycle is outlined in Fig. 1. Relevant parties in the process are:

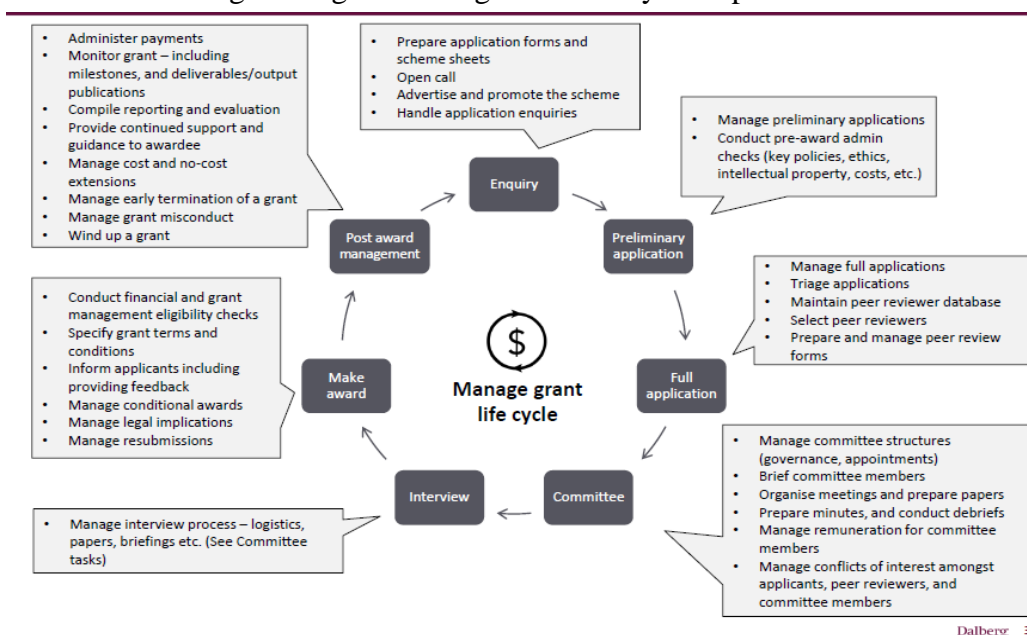
- a) The ACPC CR4D Secretariat (who will assist with liaison with other parties as relevant);
- b) The DFID (WISER-CR4D programme management team);
- c) The grant managing institution;
- d) The CR4D Scientific Advisory Committee (CR4D-SAC) or a specified working group of the CR4D-SAC;
- e) A WISER research Project Executive Committee (PEC) (the TORs of which are attached at **Annex 4**).

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<sup>3</sup> PEC comprised of representatives from CR4D Secretariat (2), the CR4D-SAC (2), the Oversight Board (1) and DFID WISER-CR4D team (2).

5.2. As noted under the core principles in para 3.1 above, the approach is to start small and expand based on performance and experience. At present, it is envisaged that grants awarded under this facility will average between £100,000 and £150,000 per grant. A programme fund of £500,000 will be made available for the first call ‘round’ and potentially up to £ 1 Million for the second call ‘round’. These are preliminary estimates which may be adjusted following the inception stage with the agreement of ACPC/CR4D Secretariat, the CR4D SAC and DFID. The above estimated budget does not include the management and administration costs levied by UNECA as Project Service Cost (PSC of 13%) and the grant manager service cost.

Fig 1. An outline of a generic grant management life cycle is provided below



## VI- IMPLEMENTATION REQUIREMENTS

The generic characteristics and capabilities sought in the grant manager are:

### 6.1. Governance and Leadership

- Functional, clear governance structure.
- Independent external audit.
- Independent advisory Board.
- African ‘owned’ and located.
- Strong existing organisational risk framework.
- Strong existing internal monitoring capacity.

### 6.2. Fiduciary Management

- Complete and available financial records.
- Internationally approved accounting standards.
- Transparent and consistent payment and disbursement processes.
- Capacity to pay and receive international payments of all sizes.
- Track record of managing money for other donors.

### 6.3. Functional Capacities

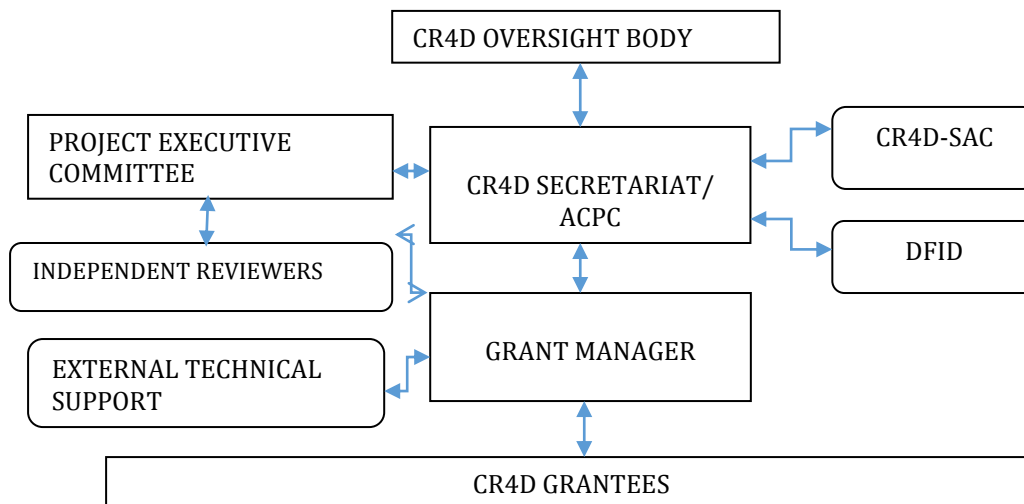
- Translating priorities into actionable research calls.



- Experience managing open, transparent research calls as well as undertaking research scoping and development work.
- Experience translating higher-level research priorities into actionable calls.
- Experience with building peer review colleges and facilitating the running of independent selection panels.
- Managing research grants post-award.
  - Existing track record of grant management.
  - Strong project supervision systems and experience.
  - Comprehensive monitoring and evaluation framework and systems.
  - Ability to work across multiple countries.
- Providing support beyond the grant cycle.
  - Track record of work with African universities and research institutions.
  - Track record of partnership with other donor organisations.

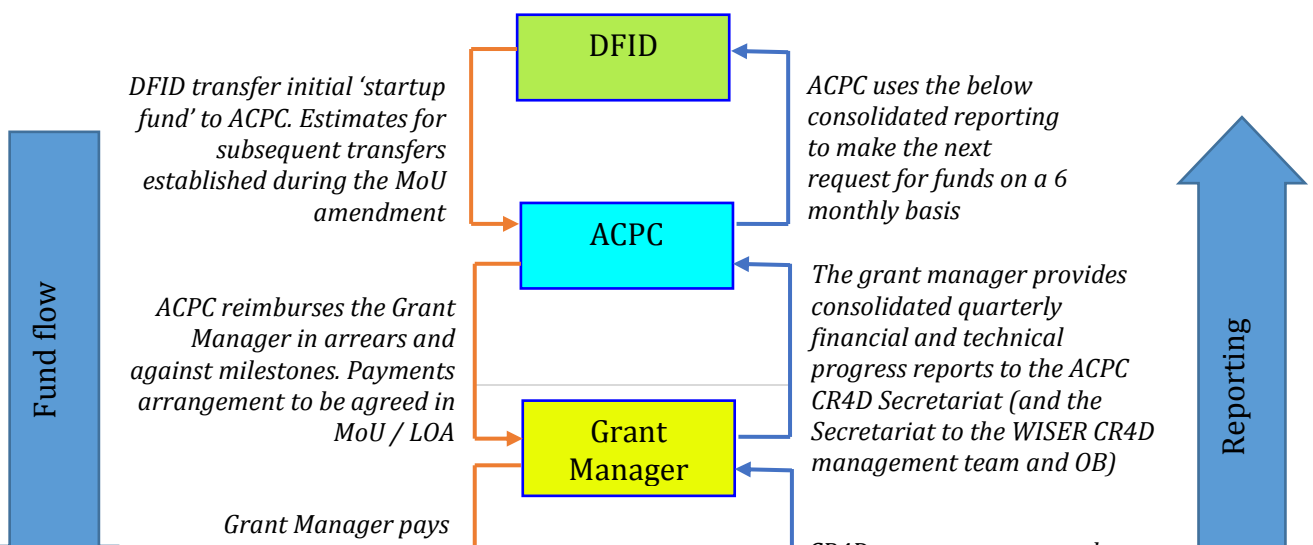
## VII- PROGRAMME STRUCTURE

7.1. The WISER-funded CR4D research grant management will have its own proposed programme structure, which may be subject to revision as required.



## VIII- PROPOSED FUND FLOW AND PROCEDURES

8.1. The proposed fund flow for WISER-funded CR4D research grant management mechanism is shown below. The same Fig shows the reporting flow from CR4D grantee to DFID via the grant manager and ACPC.



8.2. Suggestion on budget and payments between ACPC and grant manager and grantee is given below:

*Preamble.* There are two types of payments the grant manager will incur – that covering their own management and administration/running costs including M&E costs referred as ‘**management budget**’ and grant related costs covering those funds onward granted to those projects selected as part of the research ‘calls’ referred as ‘**programme budget**’.

Programme Budget	Management Budget
<ul style="list-style-type: none"> <li>Covers grants awarded to successful competition winners</li> </ul>	<ul style="list-style-type: none"> <li>Management costs</li> <li>Admin costs (including due diligence, supply chain management etc)</li> <li>M&amp;E costs</li> </ul>
<ul style="list-style-type: none"> <li><i>Ring-Fenced Budget</i> set aside for other supporting activities such as scoping, capacity building and lesson learning work. Nominally comes under ‘programme budget’ but can be accessed by the Grant Manager.</li> </ul>	

#### 8.2.1. Programme budget

The transfer of funds for the programme budget should be scheduled around the calls timetable, with the first tranche transferred just prior to the selection of the winners of the first call. As part of the documentation, the Grant Manager will provide a summary budget that sets out the payment schedule when recommending the final selection to the PEC. It is assumed that the grantees will be paid in advance, so the Grant manager will set out the estimated total grantee payment for the first 6 months in its report to the PEC. This should be the first ‘programme budget’ payment. The grant manager will also produce a second payment schedule in time for the second six month etc. For the second call, the Grant Manager’s inception report will set these out in more detail for agreement.

#### 8.2.2. Ring-fenced budget

The flexible fund budget has yet to be decided, but will probably be in the region of £ 100 K total. This would be an ‘on demand’ budget so requests would need to be agreed in advance and transfers made at the next convenient payment schedule period.

### 8.2.3. Management Budget

It covers staff and overheads, which apart from perhaps an initial set of ‘establishment’ costs, should be reasonably consistent over time. It will also include T&A and consumables etc. This is expected to pay ‘in arrears’ as long as the Grant Manager Institution is of a reasonable size/well established and is able to do this. The grant manager will set this out in their proposals, so scheduling the transfers should be straightforward once their detailed proposal is agreed.

*NB: However, the current schedule is indicative and may be revised with the agreement of both parties following the inception stage.*

## IX- EXPECTED RESULTS AND OUTPUTS

### 9.1. Expected result

The main expected result (ER) is “*(WISER OUTPUT 2): Intellectual leadership in climate science in Africa built through innovative evidence generation and learning built*”.

Details on the Result Based Budget is given in **Annex 5**.

### 9.2. The expected outputs/deliverables

The following outputs/deliverables are expected, but not limited to,

- 9.2.1. *Inception phase completed:* The inception report will set out in detail the proposed functioning of the grant manager, with budget and work plan. It will detail procedures and proposed structure and governance of the grant manager. Max 30 pages plus annexes as required.
- 9.2.2. *Call for proposal announced:* At least two (2) open competitive ‘call for proposals’ covering priority research areas agreed by CR4D stakeholders (relevant stakeholders are described elsewhere in this document). The full documentation package for the first competitive call should be based on the agreed science elements and approach and will be done in consultation with all parties. The process of launching and managing the research calls will be finalised as part of the inception period, but the call processes will wherever feasible be as closely aligned as possible with established international research grant management best practice.
- 9.2.3. *Process records compiled:* Maintenance of suitable and transparent process records in relation to the conduct and outcome of the research grant competitions, and of the progress and outcomes of the funded research projects themselves. Capability to respond to reasonable queries



and requests for information on either the competition process or the grants issued.

- 9.2.4. *Awards to successful bidders*: number of awards (as agreed by the PEC) issued. This includes conducting initial financial and grant management eligibility checks, specification of grant terms and conditions, updating applicants including providing feedback, managing conditional awards, managing legal implications, managing any resubmissions, and organising suitable awards ceremony as required.
- 9.2.5. *Due diligence assessment completed*: Reasonable due diligence undertaken on all grantees prior to issue of funds. Due diligence assessment to include delivery chain mapping of downstream suppliers/partners. This information (due diligence and delivery chain) should be maintained by the grant manager and made available to the Secretariat and DFID on request. The database of awards, accounts /payments etc according to legal requirements of host country and DFID and ACPC needs will also be maintained.
- 9.2.6. *Quarterly technical and financial reports produced*: Regular quarterly financial and technical reports on progress of both the Grant Manager and grantee operations.
- 9.2.7. *Post-award management process established*: This includes administering grant payments, monitoring grant performance and provision of continued support and guidance to awardees. It also includes managing any cost and no-cost extensions as decided by the PEC, and if necessary managing the early termination and winding up of a grant, including managing the outcome of grantee misconduct.
- 9.2.8. *Research reports produced*: Results of the research findings should be compiled based on scientific writing format (IMRAD<sup>4</sup> format). The grant Manager will maintain a database of research products, accessible on demand to ACPC and DFID.
- 9.2.9. *Research data archives established*: All raw data and information collected by the research grantees with the CR4D Secretariat for future uses.
- 9.2.10. *Monitoring and evaluation records maintained*: Regular monitoring and evaluation of grantees, with progress reporting included in the technical reporting mentioned in 8.1.5.
- 9.2.11. *Feedback system established and maintained*: a system that enables feedback and lesson learning into future calls.
- 9.2.12. *Comprehensive final reports delivered*: The final reports (financial and technical) including assessment of overall performance & recommendations. Max 40p plus annexes.

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<sup>4</sup> IMRAD format introduction, material and methods, results and discussion. This report should also include executive summary, citations, conclusion and recommendations, and [annexes].



- 9.3. Detailed activities, work plan and the corresponding budget will be made available for each output (stated from 9.2.1 to 9.2.12) by the grant manager upon submission of the inception report.
- 9.4. The Grant Manager will be expected to implement ACPC and DFID terms and conditions in relation to second tier suppliers (or third tier supplier should they feature in proposals). In due course, it is hoped that if and when other donors join, the grant manager will be expected to be sufficiently flexible to be able to also accommodate potentially different terms and conditions relevant to the joining donor.
- 9.5. It is expected that the Grant Manager will run the second research “*call*”, with the second drawing on lessons from the first and making any necessary adjustments as agreed with all parties involved in this endeavour. Therefore, the expected outputs in compliance with the management Grant Life cycle, and the same outputs as during the first round will be delivered during the second round.

**Annex 1:** General description on the roles and responsibilities of different bodies involved in WISER-funded CR4D research grant

Who <sup>5</sup>	What	Notes
CR4D-SAC	Responsible for: <ul style="list-style-type: none"> <li>- Identifying priority areas for future research calls.</li> <li>- Where possible helping with the development of the detailed research call (possibly through a working group mechanism or similar).</li> <li>- Reviewing call documentation developed by the grant manager.</li> <li>- Oversight of the call process and providing scientific ‘quality assurance’ overall.</li> <li>- Reviewing progress reports etc.</li> <li>- Guidance on uptake pathways and impact.</li> </ul>	CR4D-SAC provides overall science focus and direction, identifying priority researchable questions where there is a clear and strong ‘demand’ from practitioners and decision makers for evidence, and where research is potentially able to respond effectively to this demand.
CR4D Secretariat/ACPC	Responsible for: <ul style="list-style-type: none"> <li>- Ensuring effective two-way communication between the CR4D-SAC, ACPC, DFID and the Grant Manager.</li> <li>- Designing and facilitating suitable reporting structures and processes to ensure all parties have suitable oversight of progress reporting and feedback mechanisms.</li> <li>- Supporting/providing guidance to the grant manager in the development of detailed research call/TORs documentation and its communication,</li> <li>- Establishing a peer review and panel selection system, interpreting the guidance of the CR4D-SAC.</li> <li>- Alongside the CR4D-SAC, helping facilitate impact and uptake of research outputs,</li> <li>- Convene PEC and CR4D-SAC meetings</li> <li>- Oversight role on research implementations including receiving both technical and financial reports from the grant manager on quarterly basis and submitted to DFID</li> <li>- Ensuring/transfer fund to the grant manager as per MoU</li> <li>- Making operational management and financial decisions on a day-to-day basis.</li> </ul>	Note – like that for the CR4D-SAC, this is not a comprehensive list of the roles of the Secretariat, instead focusing exclusively on those related to engagement with the grant managing institution.

<sup>5</sup> This is not an exhaustive list of the wider roles of the institutions listed – only those involved with the specific development of calls. The following summary of roles are only in relation to the WISER research funding

	<ul style="list-style-type: none"> <li>- Ensuring the relationship with the grant manager and where necessary providing technical advisory support to the grant manager.</li> <li>- Where necessary escalating decisions or seeking inputs on issues from the Executive committee or other CR4D bodies.</li> <li>- Own the findings obtained from the WISER-funded CR4D research grant and communicate them to the wider audience using relevant outlets</li> </ul>	
DFID WISER team	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>- Ensuring DFID funding to CR4D overall complies with DFID rules, procedures and norms and represents good value for money.</li> <li>- Ensuring that the research commissioning process adheres to the core principles set out in the section above titled 'outline of proposed role and general principles for the grant manager' and to the approach set out in the DFID WISER Business Case.</li> <li>- Assisting where possible/feasible with call documentation and processes</li> <li>- Assisting, where feasible with research uptake – primarily related to other DFID investments</li> <li>- Where necessary escalating decisions or seeking inputs on issues from the Executive committee or other CR4D bodies.</li> </ul>	<p>DFID WISER team:</p> <p>Ken De Souza Rosalind West Stephen Mooney Andrew Leslie</p>
WISER CR4D Project Executive Committee (PEC)	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>- Oversight of the performance of the WISER funded research programme and to make all key decisions on behalf of ACPC/CR4D Secretariat/CR4D-SAC/DFID including in relation to: <ul style="list-style-type: none"> <li>- The selection and scope and operations the Grant Manager, including approving operational plans, logical framework and budgets.</li> <li>- The final selection of the winning bidders to competitive calls issued by the Grant Manager</li> <li>- Oversight of joint annual performance assessments, quarterly and year-end operational and financial audited reports and progress against the logical framework and workplan.</li> <li>- Commissioning a full final review of the Programme's performance and impact.</li> <li>- Approve the Programme's Communications Strategy, monitor its implementation, and agree any subsequent changes.</li> </ul> </li> </ul>	<p>The executive committee is a WISER CR4D programme specific governance mechanism to provide high-level project oversight for all parties involved. The CR4D Secretariat shall be the chair for PEC.</p>

<p>3<sup>rd</sup> party manager of research competition and grant awarding and administration process (yet to be identified)</p>	<p>Responsible for:</p> <ul style="list-style-type: none"> <li>- Developing the research competition ‘call’ document (TOR)</li> <li>- Manages the ‘call’ process (answers questions, receives bids, organises the peer-review process, collates review comments, organises and runs selection panels, consolidates panel assessments and overall rankings).</li> <li>- Manages other research funding mechanisms – such as scoping, synthesis and translation work.</li> <li>- Makes a funding recommendation to the PEC via the Secretariat</li> <li>- Undertakes routine due diligence of preferred bidders selected by PEC</li> <li>- Makes awards to successful bidders</li> <li>- Undertakes routine M&amp;E of successful projects, including financial and technical.</li> </ul>	<p>WISER to cover costs. May need to bring in external expertise to help build capacity for a short while. Will need knowledge of Climate change and climate service to adequately manage grant process and engage with grantees, and CR4D institutions.</p>

## Annex 2. Detailed tasks to be undertaken by different parties including the development of a call for proposals

What	Whom	Notes
Call documentation developed based on priorities and technical specifications identified by the CR4D-SAC	Grant manager with potentially some external support.	The grant manager would draft the call documentation. This will include: <ul style="list-style-type: none"> <li>• <i>A more comprehensive ‘technical’ description</i> of the area of interest and the form of research sought – effectively the ‘announcement of opportunity’ (AO).</li> <li>• <i>A set of requirements</i> – formats, lengths, type of information required, eligibility criteria, guidelines, financial info requirement, M&amp;E requirements, open access requirements etc (these would in part be agreed beforehand as part of the generic ‘research policies and requirements’ that would be agreed between the grant manager and ACPC/CR4D-SAC/ DFID).</li> <li>• <i>A set of criteria</i> on which the bids will be assessed and an outline of the assessment process (timeline, stages, approximate indication of value of grants and number expected to be awarded).</li> </ul>
Peer review college compiled (if peer review approach is decided on)	Grant manager in consultation esp with CR4D-SAC but also ACPC as CR4D Secretariat and DFID.	Once the narrower focus of the call has been identified, a list of potential peer reviewers or panel members needs to be compiled and their willingness to act as independent peer reviewers / panellists ascertained. Ideally we need at least 2-3 reviewers per application. Panel members need to cover the thematic area as well as broader ‘user needs’ etc. Guidance materials for peer reviewers / panellists needs to be developed , along with scoring formats and criteria etc.
Call documentation formally agreed prior to going ‘live’	Grant manager, ACPC, CR4D-SAC, DFID	The draft ‘call’ documentation would be circulated to all parties for comments/amendments. This could be done by circulation or at a convenient CR4D-SAC meeting depending on the timing.
Documentation amended in light of comments and re-circulated for final approval	Grant manager, ACPC, CR4D-SAC, DFID	This can be done by circulation and on a ‘no objections’ basis.
Call goes ‘live’	Grant manager	Public issue of call notice, with how to apply, deadlines etc.
Raise awareness of call	Grant manager and all other bodies.	Work to proactively raise awareness of the call amongst stakeholders and specifically amongst those considered likely to apply.
Fielding questions / requests for guidance / clarifications	Grant manager. If necessary referring to others as appropriate.	Guidelines on what clarifications can be provided will need to be developed.
Compile list of all applications	Grant manager	All applications will need to be registered. The grant manager will have an agreed

		<p>policy on how this is maintained and kept for audit purposes etc. Will need to comply with relevant data protection and other requirements. Again, this will be part of the overarching policy agreed at the outset with the Grant Manager.</p>
Screen applications for eligibility	Grant manager	All applications to be screened for basic eligibility against agreed criteria (correct formats, funding amounts, time-frames, institutional requirements, focus etc).
For the initial pilot(s) we may want to add an extra step to develop a long-list to go to peer review depending on the number of applications received (if there are a large number)	Grant manager in consultation with CR4D SAC, ACPC as CR4D Secretariat and DFID	If the number of eligible applications is very large, it will be difficult and possibly counterproductive to send all to peer review as we will not have a large and established peer review college. One way of handling this would be to put the applications through an independent expert screening to arrive at a manageable long-list. Again, the grant manager's policies should include agreed processes and criteria for this eventuality.
Identify suitable peer reviewers from original list	Grant manager in consultation with CR4D-SAC and others.	<p>Suitable peer reviewers will need to be identified from the long-list based on:</p> <ul style="list-style-type: none"> <li>• Matching application focus to expertise</li> <li>• Filtering out anybody with a conflict of interest or applying agreed Col policy</li> <li>• Ensuring suitable workload of individual peer reviewers</li> </ul>
Send eligible applications to peer review.	Grant manager	The grant manager will need to send all (or in some cases long-listed) eligible applications to peer review, along with instructions and guidance.
Track returns, chase late responses. Re-issue to alternates where necessary	Grant manager	These will need to be tracked and returns recorded/compiled. Where for whatever reason sufficient peer reviews are not completed, the grant manager will need to find alternatives.
Compile responses and allocate applications plus peer review comments to selection panel members.	Grant manager	<p>All applications (or a long-list) will be divided amongst the selection panel members for review and scoring. Selection panellists will have access to the peer-review comments for all applications they are reviewing. Each application will be reviewed by three panel members who will be allocated as follows;</p> <ol style="list-style-type: none"> <li>1. a 'proposer' – who will be expected to summarise the proposal and provide a justification of their score to the whole panel at the selection meeting</li> <li>2. a 'seconder' who will provide additional comments to those of the proposer;</li> <li>3. a 'reader' who will be prepared to contribute a third opinion in case of any disagreement.</li> </ol> <p>Procedures for handling of any disagreement will be covered in the grant manager's policy agreed at the outset</p>

Hold assessment panel	Grant manager. Panel members and chair. Precise details of involvement of other parties outside of the agreed panel will need setting out in the general policy covering this area. ACPC as CR4D Secretariat, CR4D SAC and DFID can attend but are not active participants.	The assessment panel should meet in person to review the applications. The meeting should be formally chaired. The panel must be independent and donor / key partner representatives should only provide clarifications or additional information to the panel at the request of the chair. Conflicts of interests will be managed through standard process agreed with all parties at the outset. The panel will agree a consensus score for each proposal. Proposals will be ranked and based on panellists views and funds available, a rough cut-off line will be agreed by the panel with proposals above the line (in ranked order) being deemed suitable for funding. <b>Note:</b> this is not the <u>final selection</u> panel.
Panel recommendations put to the CR4D Selection Board (or alternative agreed committee) for approval.	Grant manager through ACPC Secretariat	The selection panel recommendations (with explanation) are put to the selection board (or alternative) for approval. The final decision is taken by the Board (or agreed alternative). The Board / alternative may take other portfolio considerations into account (eg geographic balance) when approving.
Selection Board puts decision(s) for final ratification to CR4D Oversight Board?	CR4D Oversight Board	For discussion. Not sure if this approach is too bureaucratic / time consuming. Maybe start with this procedure and see if it works? Timing will be important in all of this: decisions will need to be made quickly to enable the Grant Manager to keep to target.
Ensure suitable record keeping and availability covering process end-to-end	Grant Manager	The Grant Manager will need to ensure that records of applications can be tracked through the selection process and through the grant awarding process. Records must be kept in accessible formats and the Grant Manager must be able to respond to queries promptly. Record keeping must comply with National laws of the Grant Manager (eg data protection).



### Annex 3. Post award engagement

What	Whom	Notes
Complete basic due diligence on selected awardees	Grant manager	Some basic level due diligence on the potential awardees will be required prior to agreeing grants/contracts. Level of due diligence required will be covered in the policies and procedures for the grant manager and be noted in the call for proposal documents. Procedures will need to be agreed for handling if a selected awardee fails the due diligence.
Award contracts / grant agreements	Grant manager	Issue contracts / grant agreements. Ensure appropriate terms and conditions passed on (ACPC and DFID will expect core fiduciary and other requirements are passed on)
Maintain database of awards, accounts /payments etc according to legal requirements of host country and DFID and ACPC needs.	Grant manager	The grant manager will be expected to have full information of all arrangements and transactions etc and be able to respond effectively to ad hoc accounting / administration queries. Where necessary, the grant manager will need to maintain and keep updated an asset register.
Undertake routine monitoring and evaluation of awards and maintain appropriate records of grantee progress and deliverables.	Grant manager Details to be agreed with ACPC/ CR4D SAC /DFID	The grant manager will need to establish a routine M&E system for all grant awards. Details to be agreed with CR4D-SAC, ACPC CR4D Secretariat and DFID.
Undertake assessment / evaluation of first call process. Initially focus to be on improving / refining systems and processes rather than technical / science aspects.	Grant manager ACPC/ CR4D SAC /DFID	Assess learning from first call. Review procedures and agree adjustments for call 2.
Establish and maintain systems to enable feedback and lesson learning into future calls.	Grant manager, with inputs from all parties.	Amend initial policies and procedures accordingly and get these agreed with ACPC and DFID
Agree focus of call 2 and repeat process.	All	Repeat process based on learning from call 1.

## **Annex 4 – DRAFT Terms of reference for the WISER CR4D Project Executive Committee.**

### **Purpose**

The Project Executive Committee will be responsible for oversight of the strategic direction of the WISER funded Research Programme, the application of Programme funding and the high-level supervision of the management and delivery of impact. In undertaking the above, the PEC will ensure the project complies with agreed project documentation (DFID Business Case, Logframe, MOU etc) and principles contained therein.

### **Composition**

The Project Executive Committee (PEC) will comprise two permanent senior officials from ACPC, CR4D SAC and DFID. The PEC will be chaired by a representative from the CR4D Secretariat.

### **Operation**

The committee will meet every 6 months, with additional extraordinary meetings at the formal request of any of the three EC representatives. Urgent matters arising between meetings may be dealt with on a ‘no objection’ basis by email within a specified period of time (e.g., 10 working days).

### **Functions and powers**

The functions and powers of the PEC will be:

- To oversee and review the performance of the WISER funded CR4D research grants project (‘the Project’) and to make all decisions on behalf of ACPC/CR4D/DFID under the contractual arrangements in place between ACPC/DFID and the contracted Grant Managing organisation.
- To approve the scope, content and timing of the limited competition to appoint the Grant Manager.
- To approve operational plans, logical framework and budgets of the Grant Manager.
- To approve the scope, content and timing of research competitions/calls issued by the contracted Grant Manager.
- To approve the selection of the winning bidders to calls issued by the Grant Manager
- To act as an escalation point for any issues that the management team is unable to resolve.
- To oversee the undertaking of a joint annual performance assessment of the Project and to make recommendations as necessary.
- To review and approve quarterly and year-end operational and financial audited reports from the Grant Manager, including progress against the logical framework and workplan.
- To approve the Project’s Communications Strategy, monitor its implementation, and agree any subsequent changes.
- To commission a full review of the Project’s performance and initial impact after the second call for proposals has been completed.
- To represent the programme at senior level and promote outputs and outcomes.

### **Terms and Conditions**

Members of the Project Executive Committee will operate under their terms of employment with their respective agencies, with sufficient work time dedicated to attend the meetings, review all necessary reports and correspondence, and otherwise carry out the functions of the PEC to a high standard.

PHASE	Expected Result (WISER output 2)  ER 1: Intellectual leadership in climate science in Africa built through innovative evidence generation and learning built”.	Outputs	Total (US Dollars)
Inception Stage	ER 1.1: grant manager selected and formal agreement with ECA / ACPC completed	Output 1.1.1: Kick-off meeting (with ACPC & DFID) completed.	<b>TBD</b> (grant manager establishment and running costs)
		Output 1.1.2: Inception phase completed.	<b>TBD</b>
First Call	ER 1.2: first public call for proposals completed.	Output 1.2.1: full documentation for ‘call for proposal’ finalised to PEC satisfaction.	<b>TBD</b> (grant manager service cost)
		Output 1.2.2: Call for proposal announced.	<b>TBD</b> (grant manager service cost)
		Output 1.2.3: Competition process records compiled.	<b>TBD</b> (grant manager service cost)
		Output 1.2.4: Successful bidder(s) selected and grants awarded.	
		Output 1.2.5: Due diligence assessment completed.	<b>TBD</b> (grant manager service cost)
		Output 1.2.6: Quarterly technical and financial reports produced.	<b>TBD</b> (grant manager service cost)
		Output 1.2.7: Post-award management review (using M&E system) completed.	<b>TBD</b> (grant manager service cost)
		Output 1.2.8: Research reports produced.	<b>TBD</b> (grant manager service cost)
		Output 1.2.9: Research data archives established.	<b>TBD</b> (grant manager service cost)
		Output 1.2.10: Monitoring and evaluation records maintained.	<b>TBD</b> (grant manager service cost)
		Output 1.2.11: Feedback system established and maintained.	<b>TBD</b> (grant manager service cost)



		<b>Note.</b> It is expected that the 2nd call will be launched prior to the first awards completing, i.e. will run in parallel for some time.	
<b>Second Call</b>	<b>ER 1.3: second public call for proposals completed.</b>	<b>Output 1.3.1:</b> review of 1st call completed and report including recommendations delivered.	
		<b>Output 1.3.2:</b> review meeting with ACPC and DFID held	
		<b>Output 1.3.3:</b> call for proposal documentation finalised and agreed by PEC	
		<b>Output 1.3.4:</b> 2nd Call for proposals announced.	
		<b>Output 1.3.5:</b> Process records compiled.	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.6:</b> Successful bidder(s) awarded.	
		<b>Output 1.3.7:</b> Due diligence assessment completed.	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.8:</b> Combined (1st & 2nd call) Quarterly technical and financial reports produced.	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.9:</b> Post-award management review (using M&E system) completed (for 2nd call).	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.10:</b> Combined (1st & 2nd call) Research reports produced.	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.11:</b> Research data archives established (For 2nd call projects).	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.12:</b> Monitoring and evaluation records maintained (both calls).	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.13:</b> Feedback system established and maintained (for 2nd call).	<b>TBD</b> (grant manager service cost)
		<b>Output 1.3.14:</b> Comprehensive final reports delivered. Covering both 1st and 2nd call.	<b>TBD</b> (grant manager service cost)

**Annex 6 (a): Sample format of the final report  
LOGO OF THE BENEFICIARY**

PROJECT TITLE:

PROJECT NUMBER:

YEAR:

STARTING DATE:

ENDING DATE:

REPORTING PERIOD COVERED: AS AT DD/MM/YY:

TOTAL BUDGET:

FINANCIAL IMPLEMENTATION RATE:

**PROJECT FUNDED WITH THE SUPPORT OF THE WISER-CR4D PROGRAMME.**

**Summary of impact (1-2 pages)**

(A brief summary of the report Highlighting the Project Objectives, Keys Results Achieved, Lessons Learnt, and recommendations)

Main report (20 pages max)

The main report will detail overall progress against objectives, main achievements of the grant manager as a whole and of individual grants/projects if appropriate, key lessons learnt and recommendations.

**Annex 6(b): Sample format of the financial Report  
LOGO OF THE BENEFICIARY**

PROJECT TITLE:

PROJECT NUMBER:

YEAR:

STARTING DATE:

ENDING DATE:

REPORTING PERIOD COVERED: AS AT DD/MM/YY:

TOTAL BUDGET:

FUND UTILIZATION RATE:

**PROJECT FUNDED WITH THE SUPPORT OF  
THE WISER-CR4D PROGRAMME.**

- I. Summary of grant disbursement  
(i.e. amount disbursed so far – various installments)
- II. Explanation of the major line items
  - Expenditures incurred to date vs. plan of activities and as related to the progress report
  - Reason for deferral of expenditure (if any)
  - Reason for over expenditure (if any)
  - Explanation for long outstanding obligations
- III. Request for additional grant disbursement (if any)
- IV. Other