



Centre for Coordination of Agricultural Research & Development for Southern Africa
Centre De Coordination De La Recherche Et Du Développement Agricole De L'Afrique Austral
Centro para a Coordenação da Investigação e Desenvolvimento Agrário na África Austral



CENTRE FOR COORDINATION OF AGRICULTURAL RESEARCH AND DEVELOPMENT FOR SOUTHERN AFRICA (CCARDESA)

GRANTS SYSTEM MANUAL

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LIST OF ACRONYMS

AIDS	Acquired Immune Deficiency Syndrome
BOD	Board of Directors
CCARDESA	Centre for Coordination of Agricultural Research and Development for Southern Africa
CGIAR	Consultative Group on International Agricultural Research
CGS	Competitive Grants System
CLI	Consortium Lead Institution
CN	Concept Note
CSC	Consortium Steering Committee
FP	Full Proposal
GMU	Grant Management Unit
HIV	Human Immunodeficiency Virus
IARC	International Agricultural Research Centre
ICP	International Cooperating Partners
EOI	Invitation for Expression of Interest
IPR	Intellectual Property Rights
MAPP	Multi-country Agricultural Productivity Programme
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MOU	Memorandum of Understanding
NARS	National Agricultural Research Systems
NGO	Non Governmental Organisation
NARI	National Agricultural Research Institute
PAC	Project Approval Committee
SADC	Southern African Development Community
TSG	Technical Support Group
USD	United States Dollar

1. INTRODUCTION

1.1 Background

The Centre for Coordination of Agricultural Research and Development for Southern African (CCARDESA) is a Sub-regional Organisation (SRO) established to coordinate the implementation of regional agricultural research and development (R&D) programmes within the Southern African Development Community (SADC) region. The R&D portfolio of CCARDESA is anchored on its Medium Term Operational Plan (MTOP) which was developed with a view of addressing the priority research issues of the region. The MTOP outlines the strategic vision with regard to addressing the prevalent low agricultural productivity, food insecurity and malnutrition. It also addresses regional challenges associated with SADC's growing population and the fact that the majority of farmers in the region are smallholder farmers who are often resources-constrained.

Grants to be provided by CCARDESA will be for supporting the research and development (R&D) priorities of the region. The last consultative determination of the R&D priorities of the region was performed in two stages in 2012. The resulting reports and identified priorities shall guide the allocation of resources and prioritisation of technical areas for the Calls for Proposals. Regional and continental strategic documents such as the Regional Indicative Strategic Plan (RISDP) of SADC and the Comprehensive Africa Agricultural Development Programme (CAADP) also form a strong basis for setting the priority areas for the CCARDESA grants in the region. These documents, together with the MTOP and the R&D Priority Setting Report of 2012, have been key in the development and establishment of the Multi-Donor Trust Fund (MDTF) of CCARDESA under the World Bank.

The Project Appraisal Document (PAD) of CCARDESA, developed by the World Bank recognises the various strategic documents of CCARDESA, SADC and New Partnership for Africa's Development (NEPAD). The PAD therefore reflects the priorities of the region and is the basis for the support given to CCARDESA by the World Bank through the MDTF.

CCARDESA's R&D portfolio is composed of two categories: (i) programmes developed within by CCARDESA to address challenges and/or improve the agricultural sector within the SADC region; and (ii) continental projects/programmes developed through the Forum for Agricultural Research in Africa (FARA) and coordinated and implemented at regional level. The two categories of R&D programmes are recognised by the MTOP. This grants manual is of direct significance to the programmes developed by CCARDESA.

1.2 Purpose of this manual

This Manual is a guide for the operation of the CCARDESA grant system. The contents in this document have been written and arranged in a manner which is intended for use internally and externally by the respondents as well as any other interested stakeholders. The manual endeavours to explain the processes to be followed in order to make the grant system as transparent and efficient as possible. All CCARDESA stakeholders in SADC Member States, financiers and respondents to the Calls must have confidence that the

process of selecting and allocating resources is the most efficient. Detailed annexes are provided to give additional information, guidelines and formats to ensure the preparation of proposals is standardised and evaluation is made easy.

1.3 Overview of CCARDESA programme and priority issues

The goal of the regional programmes under CCARDESA, is to sustainably reduce the food insecurity and poverty in the SADC region. The objective is to increase smallholder productivity through adoption of improved agricultural technologies and improved husbandry and marketing practices. This objective will be achieved through the implementation of activities under the following five Thematic Areas of the MTOP:

Thematic Area 1: Farmer Empowerment and Market Access

CCARDESA will support efforts to build the capacity of farmer groups and their national associations to participate more effectively in the formulation of the R&D agenda and to play a more active role in enhancing access to markets through advocacy, better linkages to input and output markets and to key technical/business management services.

Thematic Area 2: Research, Technology Generation and Farmer demand-driven Advisory Services

Under this Thematic Area CCARDESA will support regional sub-projects which will contribute to the generation of technologies that respond to the identified priority needs of farmers. A key principle will be collaboration among the National Agricultural Research System (NARS) institutions and partnerships with the relevant universities and International Agricultural Research Centres.

Thematic Area 3: Knowledge, Information and Communication

The focus of CCARDESA in this Thematic Area is to develop a robust information and knowledge management system, and also to make CCARDESA a repository of comprehensive and up-to-date information on agricultural R&D in the region.

Thematic Area 4: Institutional Development and Capacity Building

Analysis of the individual NARS institutions within the region indicates the need to strengthen and build their capacities to effectively participate in regional research and extension activities. Capacity strengthening under this thematic area will focus on promoting good practices and partnerships.

Thematic Area 5: Establishment and strengthening of CCARDESA as an effective Sub-regional Organisation (SRO).

Under this Thematic Area CCARDESA MTOP will adopt and adhere to a good governance system that conforms to international best practice; maintain critical mass of highly qualified staff; establish and maintain effective partnerships; mobilise and effectively manage resources for regional research

and capacity building; and develop and implement a robust system for monitoring results and impact of its activities in the region.

1.4 Purpose of the grant system

CCARDESA has been designed to provide mechanisms and processes through which participating institutions would be facilitated to work together and pool resources to undertake joint projects on agricultural R&D issues of common interest through a grant system. The primary aim of grants will be to make regional R&D as well as related training and capacity building, more stakeholder-driven, cost-effective, pluralistic and efficient by fostering and strengthening partnerships in the development and implementation of client-driven collaborative research and development networks and subprojects.

The CCARDESA Grant System is designed to contribute to regional development through complementary actions which will result in increased agricultural production, productivity and food security. It takes into account the common vision elaborated in various regional and continental documents, the PAD, as well as new global and regional developments.

An overriding principle of the grant system will be that “funds for projects follow the regional priorities and performance in R&D implementation”. By linking the funding to the performance/capacity of the institutions implementing a particular R&D project, delivery of quality results will be ensured. The Grant system will also promote the implementation of R&D projects through consortia, rather than individual organisations. This approach will encourage collaboration among institutions in different National Agricultural Research Systems (NARS).

2. TYPES OF GRANTS

All grants will use the same basic preparation and review process described in section 4 below and which is based on concept note preparation and review, full proposal preparation and evaluation, and formal approval. The process for soliciting initial concepts may differ between types of grants. In order to ensure transparency, a list of concept notes approved for full proposal development will always be publicly available on the CCARDESA website¹ and, once approved, the final full proposals will also be posted on the website.

A wide range of stakeholders involved in agricultural R&D within the NARS (*i.e.* research, extension or advisory services, agricultural education, farmer organisations, NGOs, agribusiness entities in the private sector, etc) will be expected to participate in bidding for R&D grants. In view of the wide range of stakeholders and the diverse capacity of the region’s NARS, there will be some R&D issues that can better be addressed by specific institutions or expertise. The traditional competitive grant system may not be appropriate in such situations. Therefore, three grant systems for projects are envisaged to cater to different circumstances and each of them has an element of competition. The three types of grants are:

¹ www.CCARDESA.org

1. Fully competitive grants
2. Commissioned grants
3. Innovation grants

Table 1 summarises these grant systems together with the criteria and eligibility of the applicants under each system. All the grants shall be required to fulfil the appropriate provisions of the CCARDESA Grants Manual.

Table 1: Summary of CCARDESA Grant Types, Operational Criteria and Eligibility

PURPOSE	EXAMPLES OF USE	OPERATIONAL CRITERIA	ELIGIBILITY
1. FULLY COMPETITIVE GRANTS			
Grants meant to support the generation of new knowledge and technologies for enhancing agricultural production and productivity.	<ul style="list-style-type: none"> Investigations into new agricultural products, utilisation, management models, assessment methods etc. Documenting examples of good practice with farmer empowerment, research for development, advisory services, education, ICT or communications 	<ul style="list-style-type: none"> Should demonstrate partnerships and linkages internally or externally Activity should be led by a SADC region based institution (public or private). CGIAR centres and other international institutions to partner Sub-contracting allowed but lead institution is accountable Grant used primarily for operational activities but some institutional support allowed Cost sharing required Can be awarded for multi-year activities but continued financing subject to annual reviews to assess performance against agreed criteria 	Open to the full range of stakeholders (farmers, private sector, public sector, international, regional and civil society institutions)
2. COMMISSIONED GRANTS			
<ul style="list-style-type: none"> To support specific short term studies/work to generate specific outputs of relevance to the region, and requiring careful identification of technically capable institutions 	<ul style="list-style-type: none"> Exploratory work and identification of potential initiatives or programmes Addressing regional issues of exceptional nature requiring urgent responses 	<ul style="list-style-type: none"> Awards based on proposals from short lists of selected institutions with well-established capacity for the task at hand. Cost sharing could be required 	Specific institutions identified on technical & financial ability. These are identified from the full range of stakeholders
3. INNOVATION GRANTS			
<ul style="list-style-type: none"> Testing new approaches and methodologies at national level with potential for eventual scaling up and scaling out To support studies on national policy reforms and policy advocacy 	<ul style="list-style-type: none"> Supports for national systems in piloting innovations, Support for national systems in taking the first steps in implementing institutional and policy reforms, Support for “Rapid results activities” which can show quick success. 	<ul style="list-style-type: none"> Grants generally small and short term (12 – 18 months) Grant activity should demonstrate or generate lessons for other countries in the region 	Open to the full range of stakeholders

2.1. Fully Competitive grants

These grants support projects for the generation of new knowledge and technologies on identified regional priorities across the whole range CCARDESA's programme themes (i.e. research, extension, education and farmer empowerment).

A Call for Proposals (Call) or an Invitation for Expression of Interest (EOI) for a competitive grant will be open to the whole range of stakeholder institutions in the region. The grants will encourage networking on a project among three or more institutions from at least two SADC countries. Partnerships with CGIAR centres and other international institutions will also be encouraged in order to build the capacity of the NARS in the region.

The strategy of R&D built around active networking through a project serves, not only to bring top expertise into the process, but also is a powerful tool in the building of capacity amongst partners who will, inevitably, be at different stages of development. Within these networks, those partners with the best skills and facilities would become the leaders, with the objective of enhancing capacity and quality throughout the network. The network lead institutions will help enhance the capacity and quality and contribute to skills transfer at all stages from developing the Concept Notes and the Full Proposals to implementing the project. Figure 1 provides as example the generalised structure of a project network.

In line with the principle of subsidiarity, projects will be led where possible by an institution (public or private) based in the region, with collaborating CGIAR centres and other international institutions as partners. This, together with targeted training, is expected to enhance the capacity of the NARS institutions.

2.2 Commissioned grants

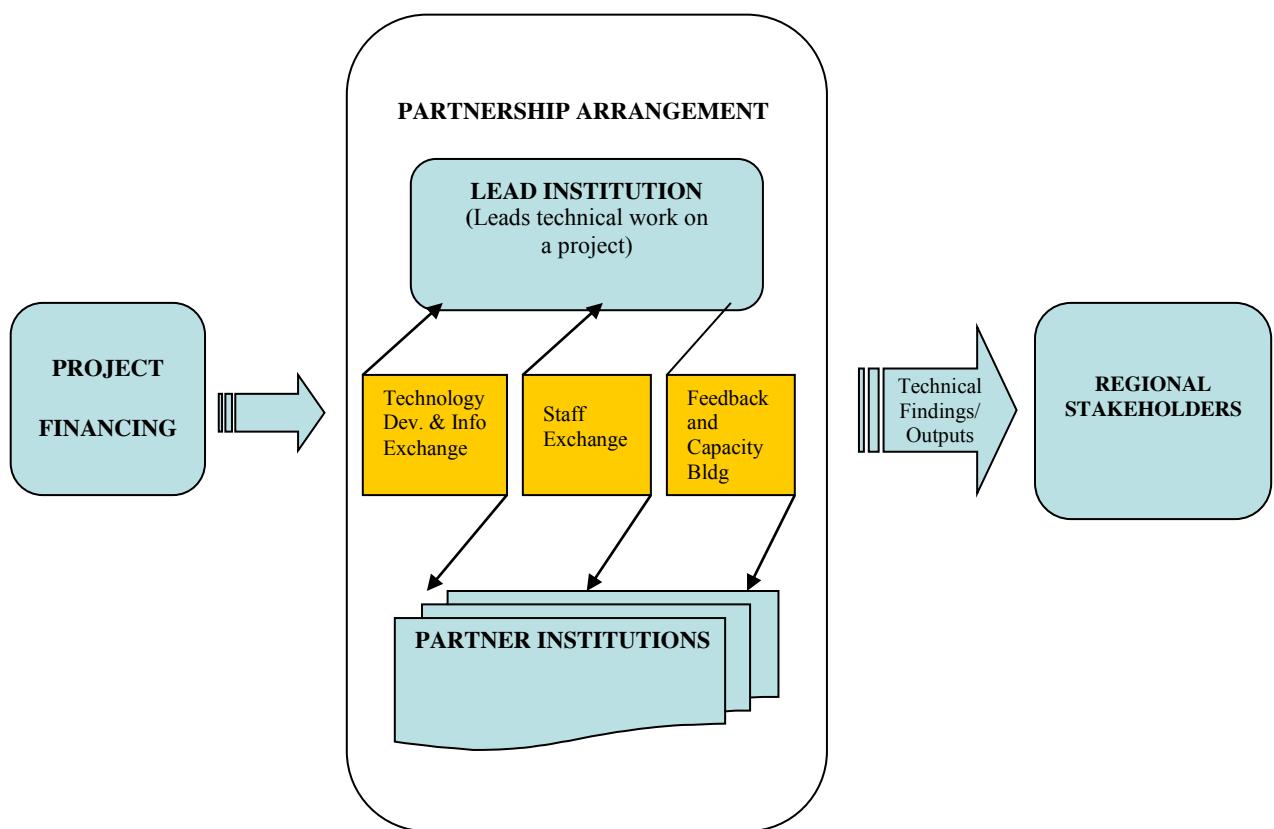
These grants will be used in situations where the work to be done requires highly specialised skills and equipment which is generally found in very few institutions in the region. Under such conditions, the use of fully competitive grants would be inappropriate. Such organisations with potential to carry out the work will thus be identified and allowed to compete for the assignment.

Applications for grants will be restricted to a short list of selected institutions with known specialist skills or expertise. The criteria for short listing will depend on the specialised skills and facilities required, such as knowledge of the subject matter or laboratory or other facilities/technology that the short-listed institution can provide. Competition among the short-listed institutions will however follow the same process as for the competitive grants.

Where appropriate, the shortlisted institutions will be required to work with other institutions in developing the Concept Notes and the Full Proposals and in implementing the project. This will contribute to building the capacity of weaker institutions and to transferring of skills.

In exceptional cases where there is extremely limited capacity to work on a particular priority problem, grant-financed projects could also be directly commissioned on a “sole source” basis to a single provider or consortium with a well-proven track record. Sole-source providers will be transparently selected and such projects will still be subject to the normal appraisal and grant approval procedures.

Figure 1: Generalised structure of a project network



2.3 Innovation grants

These funds will be used to support practitioners in the NARS in testing innovative approaches and methodologies at national level with potential for scaling up and scaling out in the region. This category of grants will therefore not be used for research work which aims at developing new approaches and methodologies. The approaches and methodologies to be tested must already be in existence and must show clear potential for application in other countries within the region.

These grants will be available for the whole range of activities: policy reforms and advocacy, advisory services, training, production, processing

and marketing. Innovation grants will normally be small and short-term (12-18 months).

3. ELIGIBILITY CRITERIA FOR ORGANISATIONS AND INSTITUTIONS REQUESTING A GRANT

This section describes the eligibility criteria, relating to organisations which may request a grant

3.1 Eligibility of applicants

Grants under CCARDESA are open to all NARS institutions in the region as well as the international organisations collaborating with the NARS. Such international institutions include private organisations conducting some research and development work. In order to be eligible for a grant, applicants must:

- a) be CCARDESA NARS institutions or international organisations collaborating with NARS in a project to be led by a NARS institution;
- b) be directly responsible for the preparation and management of the proposal, not acting as an intermediary;
- c) be a legal entity that can enter into a legally binding contract with CCARDESA; and
- d) have sufficient fiduciary capacity to manage funds or demonstrate a partnership arrangement that allows funds to be managed in a manner satisfactory to CCARDESA and, where the grant utilizes donor financing, the relevant donor partner.

Potential applicants may not participate in calls for proposals or be awarded grants if:

- a) they are bankrupt or being wound up, are having their affairs administered by the courts, have entered into an arrangement with creditors, have suspended business activities, are the subject of proceedings concerning those matters, or are in any analogous situation arising from a similar procedure provided for in national legislation or regulations;
- b) they have been convicted of an offence concerning professional conduct by a judgement which has the force of *res judicata* (i.e., against which no appeal is possible);
- c) they are guilty of grave professional misconduct proven by any means which CCARDESA can justify;
- d) they have been the subject of a judgment which has the force of *res judicata* for fraud, corruption, involvement in a criminal organisation;
- e) are subject to a conflict of interests;
- f) are guilty of misrepresentation in supplying the information required by CCARDESA as a condition of participation in the call for proposals or fail to supply this information;

- g) have attempted to obtain confidential information or influence the evaluation committee or the CCARDESA during the evaluation process of current or previous calls for proposals.
- h) the source of funding for the grant prohibits funding to a certain class of applicant – e.g. if the grant is financed from donor funds that do not allow financing to certain types of institutions or have geographic restrictions.

Applicants are required to submit to CCARDESA, on a prescribed form, a sworn statement that they do not fall into any of the above categories (a) to (h).

3.2 Partnerships and eligibility of partners

- a) Applicants must act in consortium with partner organisations as specified hereafter. It is expected that consortia comprise of at least **two partners** from at least **two SADC member states**. The project proposal will present with details the responsibilities of every partner as part of the project plan, their involvement in expected outputs and their role in the communication plans of the project.
- b) Applicants' partners participate in designing and implementing the project, and the costs they incur are eligible in the same way as those incurred by the Lead Institution. They must therefore satisfy the same eligibility criteria as applicants.
- c) Other organisations may be involved in the project. Such associates play a real role in the project but may not receive funding from the grant. Associates do not have to meet the eligibility criteria referred to in section 3.1.
- d) The applicant will act as the lead organisation and, if selected, as the contracting party (the "Beneficiary").

3.3 Eligibility – Other considerations

- a) The duration of a project may not exceed 36 months from an agreed starting date.
- b) Proposals must incorporate a capacity building component into the project that is clearly detailed in the application process. In this regard particular emphasis is placed upon strengthening institutional capacity in the SADC region; this is seen in the context of both technical capacity and that of management/administration. It is expected that capacity building activities are adequately resourced when applications are prepared.
- c) The role and responsibility of the different partners must be clearly defined as well as the research results to which each partner involved is committed. A demonstration of knowledge of current regional integration efforts would have added advantage. For added guidance proposals will merit advantage if they include:
 - (i) A clear strategy to address social equity, with emphasis on gender, youth and other marginalized groups and the impact of HIV and AIDS,

- (ii) A clear description of methods and approaches – e.g. putting substance behind words like participatory project research, team mix, etc.,
- (iii) An identification and critical assessment of uptake pathway by stakeholders,
- (iv) A critical assessment of the possible environmental impact of the interventions,
- (v) A good justification of the budget in response to budget rules,
- (vi) Integration of up-scaling and M&E throughout the project phases,
- (vii) Promotion of public-private sector partnership in the development and utilisation of technologies and,
- (viii) Measurable indicators for monitoring and evaluation clearly identified.

All Institutions who will be receiving grants from CCARDESA will be required to fill in an institutional assessment form (Annex 1)

4. GRANT SYSTEM GOVERNANCE AND MANAGEMENT

4.1. Grant identification and concept note solicitation process

The process of identifying and soliciting for proposals from NARS and other stakeholders shall be guided by the key strategic documents of CCARDESA. These include the regional research priorities identified by stakeholders in the region, the MTOP and other strategic documents of the organisation. The Calls made by CCARDESA will always reflect the needs of the regional stakeholders and shall be based on outcomes of wide consultation processes. The general focus will be on increasing production and productivity of agricultural systems in order to improve food security. The grants shall be consistent with the PAD.

With the exception of the Commissioned grants, the process of awarding the grant shall start with a specific Call for Proposals by CCARDESA, soliciting for submission of Concept Notes by eligible organisations. Each Call shall be made on the basis of:

1. the R&D priorities of the region, which CCARDESA will establish from time to time through consultations and regional studies;
2. topical issues and changes of significance arising from regional and global developments; and
3. The medium term operational plan being implemented by CCARDESA at the time of making the call.

The above issues will be used by CCARDESA to decide on the technical areas which the call will address, and the most appropriate type of grant under which the Call should be made.

A typical Call shall include information under the following headings:

1. Title of Call
2. Reference Number
3. Background
4. Specific Technical Areas of the Call
5. Duration and value of Grants
6. Eligibility
7. Selection Criteria
8. Closing date and submission procedure
9. Estimated processing times and award date
10. Instructions to Applicants

In the case of Commissioned grants, the process will begin with a clear identification and description by CCARDESA of the work to be done. This will be followed by identification of a few organisations with well-established capacity relevant to the task. The identified organisations will be invited to submit Expressions of Interest (EoI) to carry out work on a specific topic. The solicited EoI will provide a pedigree of the institution with regard to their experience and available expertise relevant to the Call.

4.2 The Governance and Evaluation of project proposals

The governance structure associated with the evaluation of project proposals is as follows:

4.2.1 Grant Management Unit (GMU) within CCARDESA, tasked to take responsibility for:

- (i) grant system management, including overall planning, budgeting and financial management,
- (ii) organizing and processing the Calls and EoIs,
- (iii) hiring of consultants to undertake approved studies and workshops in accordance with procurement rules and procedures contained in the Procurement Manual of CCARDESA, and
- (iv) supervising the implementation of all Project Appraisal Committee (PAC)-recommended grant-financed projects, studies and workshops and overseeing their orderly completion.

The GMU will comprise the senior management of CCARDESA, including the Thematic Coordinators who are expected to lead the preparation of Calls or EoIs, and the identification of specific studies and workshops under their themes. The GMU will be responsible for identifying service providers to respond to an expression of interest to implement either sole-source contracts or commissioned grants. The GMU will also source additional expertise in crops, livestock, NRM and economics as necessary from the Food, Agriculture and Natural Resources (FANR) Directorate

4.2.2 Technical Support Group (TSG) - a database of high profile professionals of exemplary standing in the respective MTOP themes. The TSG membership will be pluralistic and adequately covering the three official languages of the region. Individual experts from the database will be hired on a part-time basis as “consultants” by CCARDESA to support

the work of the GMU in their particular areas of expertise. They will be selected on the basis of their technical competence, regional stature and trust, experience and skills in order to enhance grant system transparency, credibility and independence.

Three consultants from the TSG will be hired per project and charged with the responsibility to review, evaluate and grade technically and financially the project submissions from the applicants. They will recommend to PAC the approval of project proposals for grant funding based on criteria approved by the CCARDESA Board of Directors.

4.2.3 The Project Appraisal Committee (PAC) will be established to review, evaluate and grade projects which have passed the technical and financial assessment by the TSG. In order to ensure and nurture close linkages between CCARDESA and the grant system, two of the members of the CCARDESA Board of Directors (one from the Technical Sub-committee and the other from the Finance Sub-committee) may be invited to observe the process if necessary. The PAC will assess the proposals and recommend a list of projects to be funded.

5. PROPOSAL PREPARATION AND SUBMISSION PROCESS

In preparing both Concept Notes (CN) and Full Proposals (FP), applicants are required to state the R&D questions to be addressed and their relevance to regional market oriented agriculture, the extent of collaboration with stakeholder organizations and how the R&D relates to the CCARDESA purpose and result areas. In addition, the proposed R&D methodology and strategy and the approximate amount of funding that will be required must be clearly stated. The logical framework (see Annex 2) is a key part of the proposal.

The standard formats shown in the Annexes enable reviewers to make an evaluation of proposals that are presented in a uniform manner. This is one important factor in ensuring fair competition between submitted proposals across diverse organisational and scientific backgrounds. Applicants must familiarise themselves with the evaluation criteria in the response to Calls or Eols. Figure 2 summarises the process of preparing and submitting CNs and FPs.

For Commissioned grants, the Eol document shall state, among others, the following:

- (i) past works carried out by the organisation in relation to the Call,
- (ii) specific tasks performed under each,
- (iii) the clients to whom the services were provided,
- (iv) description of the human and physical resources of the organisation,
- (v) proposed methodology for the task in the Call,
- (vi) proposed work plan,

- (vii) proposed expert(s) with CVs attached, and
- (viii) budget.

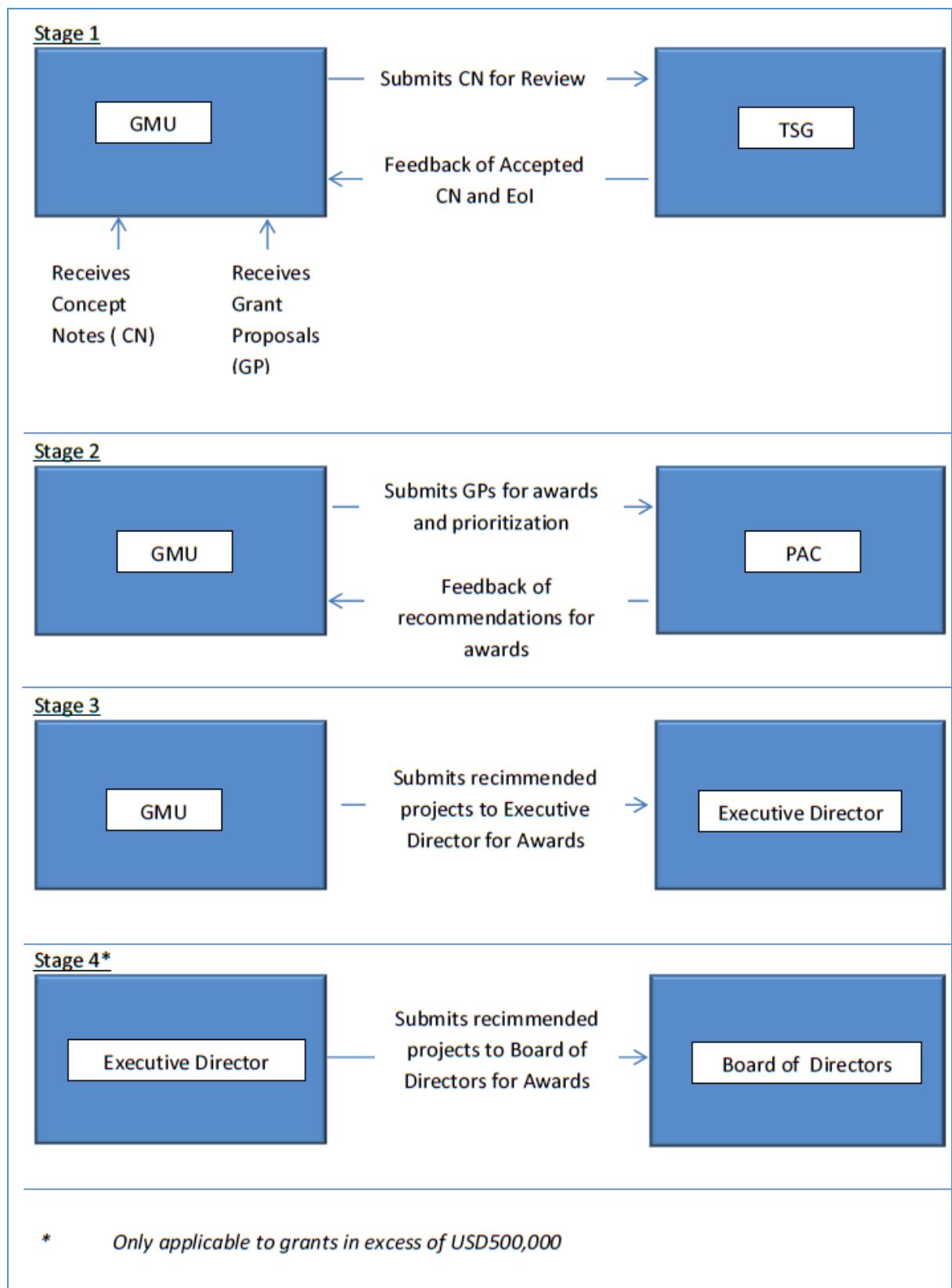
5.1 Preparation and submission of Concept Notes and Expressions of Interest

The detailed guidelines and format for preparation of Concept Notes (CN) and Expression of Interest (EoI) are given in Annex 2 and Annex 3, respectively. The guidelines and format for the preparation of the logical framework are given in Annex 4 while the budget format is shown in Annex 6. Since Innovation grants and special grants may have special requirements, Annex 3 shall be modified from time to time to make it appropriate for the Call.

In all situations, a Call is issued by CCARDESA requesting NARS institutions to respond through a submission of Concept Notes (CNs) or EoI. All responses are screened by the GMU for eligibility and conformity with the grant rules and procedures within 3 months of submission of CN. Concept Notes/expressions of interest that pass the screening test are then submitted to the TSG for technical assessment.

The GMU will send back to the applicants the technically and financially evaluated CN with comments from the TSG. Consortia/organisations with approved CNs will be requested to develop detailed FPs, taking into account the comments of the TSG.

Figure 2: CCARDESA framework for grant project review process



5.2 Preparation and submission of Full Proposals

Regardless of the type of grant being considered, all successful Consortia or Institutions will be required to prepare FPs and complete Annex 5 and 6 again, starting with the logical framework in the proposal development process. The applicants must prepare their proposals using the checklist at the end of Annex 5 as omissions cannot be corrected after submission. A completed FP will be sent to CCARDESA GMU in soft and scanned copies of attachments which need signature on hard copies.

Except for a few isolated areas, Southern Africa generally receives rains between October and March/April. In order to ensure that projects that depend on the rain season are carried out timely, the research grants shall be processed in such a manner that the awards and the resources are made available to the successful institutions not later than the 30th of September. The estimated processing times for the different stages shown in Figure 6.1 shall be as follows:

5.3 Timing and time-frame

	ACTIVITY	ESTIMATED DURATION
1	Publishing call for Concept Notes or Expression of Interest	8 weeks (for organisations to respond to the Call)
2	Review of Concept Notes	12 weeks For Administrative compliance assessment and technical evaluation by experts
3	Development of Full Proposals	5 weeks
4	Review of Full Proposals	2 weeks
5	Approval and grant award	3 weeks

6. PROJECT EVALUATION AND COMMISSIONING PROCESS

Figure 5 illustrates the general features of the process of screening, evaluation and approval of CNs, EoI and FPs. The selection and evaluation process of the CNs, and EoIs shall be as follows:

- a) *Administrative compliance:* screening by the GMU on “responsiveness” to the particular Call or EoI to verify that the application is complete in accordance with the checklist given in Annex 5.
- b) *Eligibility of the applicants and partners:* verification that the applicant, the partners and the associates (where applicable) are eligible according to the criteria set out.
- c) *Evaluation of the quality of the proposals and financial evaluation:* An evaluation of the quality of proposals, including the proposed budget, will be carried out in accordance with the evaluation

criteria set out in the Evaluation Grid shown in Annex 7. There are two types of evaluation criteria: selection and award criteria. The selection criteria are intended to help evaluate the applicants' financial and operational capacity to ensure that they:

- (i) have stable and sufficient sources of finance to maintain their activity throughout the period during which the project is being carried out and, where appropriate, to participate in its funding;
- (ii) have the professional competencies and qualifications required to successfully complete the proposed project. This also applies to any partners of the applicant.

The award criteria facilitates evaluation of the submitted proposals in relation to the objectives and priorities set, and grant to be awarded to sub-projects which maximise the overall effectiveness of the call for proposals. They cover such aspects as the relevance of the project, its consistency with the objectives of the call for proposals, quality, expected impact, sustainability and cost-effectiveness.

6.1 Evaluation of Concept Notes and Expressions of Interest

All CNs/Eols submitted to the GMU will be recorded and allocated a reference number which will be used to trace all movements from that time till completion of the project implementation. The GMU will carry out the initial administrative appraisal to ensure that the response is in compliance with the Call. It will use a Compliance Analysis Form (see Appendix to Annex 2) to ensure consistency in the appraisal.

The CNs/Eols which are not compliant will be rejected and returned to the applicant with reasons as soon as the initial screening is finalised. The reasons for rejection will be filed by the GMU as they are critical for the development of training programmes for prospective applicants and refinement of in-house training manuals.

The GMU will remove Cover Pages of all compliant CNs/Eols to ensure anonymity of the applicants and then forward them to TSG for technical and financial evaluation as per the Evaluation Grid in Annex 7. This shall be the main competitive and rigorous assessment stage to ensure that only the CN with high priority and potential to be developed into full proposals and to be implemented proceed to the next level. The TSG will return all evaluated CNs to the GMU with full comments for both rejections and approvals. The GMU will record all these and send them to the applicants with a proposed way forward. Applicants of approved CNs will be requested to proceed to prepare a FP incorporating the comments from the TSG.

6.2 Evaluation of Full Proposals

Applicants with approved CNs/EoIs will proceed to develop FPs incorporating the comments from TSG. The completed FPs will be submitted to the GMU which will review the FPs for compliance and inclusion of any comments from the CN evaluation. All compliant FPs will be forwarded to the TSG for a detailed technical and financial evaluation. The TSG evaluation will look at the quality of the proposal, explicit, appropriateness of methodology, innovation, originality, responsiveness to the objectives, cost effectiveness, adoption methodology, adequacy of budget, up and out scaling mechanism and sustainability.

The TSG will return to the GMU all evaluated FPs with the Evaluation Grid Sheet (Annex 7) completed with comments and recommendations. All proposals that have undergone evaluation will be reviewed by the GMU for lesson learning and training. Accepted FPs will be prioritised and awarded funding in line with the approved budget.

Prior to signing of the grant agreement, CCARDESA shall convene meetings with the successful applicants to further assist them with finalisation of budgets, environmental and social safeguards, M&E strategies, dissemination strategies, and practical aspects of research and resource management under the grant. The meetings will aim at preparing the organisations for implementation of the projects, clarifying the practical expectations during implementation and also to strengthen any observed weaknesses in the proposals.

The GMU will advise all applicants of the outcomes of the evaluations. Full Proposals which have not been recommended for funding after the evaluation will be sent back to the applicants with comments to be attended to. CCARDESA shall endeavour to train, nurture and mentor the institutions whose FPs have not been accepted at first evaluation. This will be done through guided training to assist the institutions to reach the acceptable standards for approval and award of the grant. However, the responsibility of ensuring that the proposal reaches the acceptable standard lies with the applicants. CCARDESA reserves the right to reject the FP at any stage of the process if there is clear indication that the applicant's capacity or attitude is in doubt.

6.3 Approval of the Proposals

The Executive Director will approve and award resources for the accepted full proposals when the value is below a threshold of USD 500,000. However, all the project grants approved by the Executive Director shall be presented to the Board for information and endorsement. For Proposals with a budget value which is above the threshold for the Executive Director, the Board shall approve them before awarding the grants.

In some cases International Cooperating Partners (ICPs) providing financing for grants may also require prior review and "no objection" following approval by the Executive Director. These requirements will be

detailed in the specific legal agreements between the ICP and CCARDESA.

6.4 Fiduciary capacity assessment and fiduciary arrangements under Projects

Institutions with successful FPs will undergo a simple fiduciary capacity assessment by CCARDESA to determine whether the applicants have adequate fiduciary capacity in place. CCARDESA will also assess if the proposed financial management arrangements in the FP will:

- (a) allow for correct and complete recording of all transactions and balances relating to the Grant;
- (b) facilitate the preparation of regular, accurate, reliable and timely financial statements;
- (c) safeguard any assets purchased through the Grant; and
- (d) demonstrate auditing arrangements acceptable to CCARDESA.

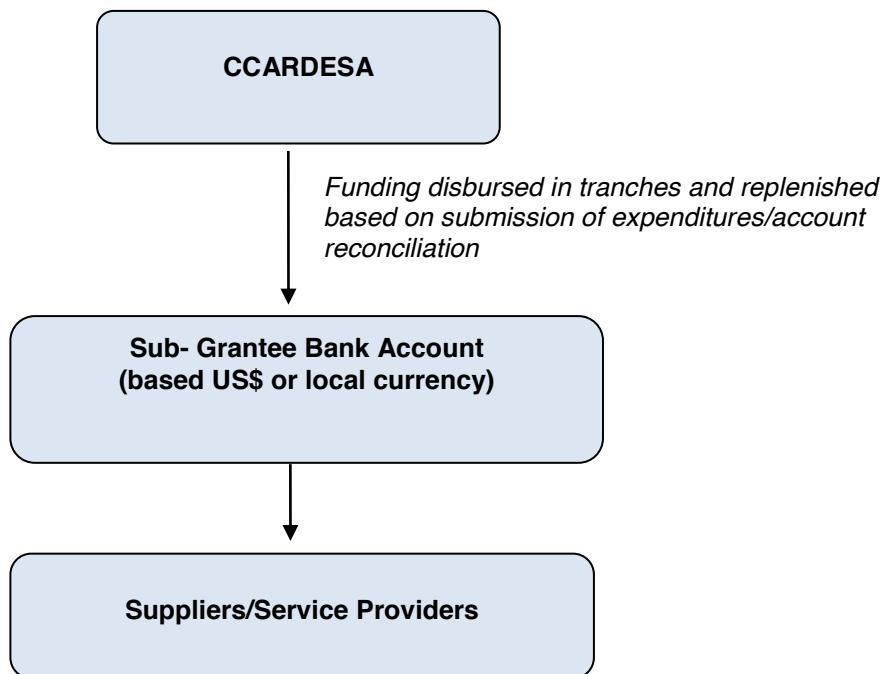
All procurement under the Grant will be carried out in accordance with applicable CCARDESA guidelines. Where the Grant utilizes donor financing, adherence to the fiduciary requirements of the relevant donor partner will also be required – including any specific financial management and procurement policies. In these cases, applicable donor requirements will be specified in the Grant contract.

Applicants who do not meet a minimum required fiduciary capacity may be rejected even if the FP has an otherwise positive evaluation. Alternatively, special arrangements – such as the channelling of funds through a third party – may be used if the capacity of the proposed recipient institution is insufficient. Any third party entity would have to demonstrate that it has adequate capacity to handle CCARDESA resources for the specified project and, where possible, to comply with donor fiduciary requirements.

CCARDESA shall use resources from the International Cooperating Partners (ICP) and other sources to finance research in the region, on the basis of clearly identified research priorities. These ICPs may have special conditions for disbursement and usage of their resource, which CCARDESA may be obliged to follow. Thus, subject to requirements of the ICPs, allocation of resources to institutions which have duly fulfilled the requirements of the provisions of this manual could be restricted. In some cases, special fiduciary arrangements may have to be made to the satisfaction of the donor providing the resources.

Annex 8 provides details on financial management and reporting requirements, while Annex 1 provides a sample Institutional Assessment Form.

Figure 3: Funds Flow to CCARDESA Grant Recipients



6.5 Managing Environmental and Social Impact under Projects

CCARDESA has a policy of preventing or minimising possible negative impacts to the environment, natural habitats, plants, animals and humans. This is expressed in its Environmental and Social Management Framework (ESMF) which provides guidelines to be observed and adhered to by CCARDESA and all its partners in the implementation of projects. All applicants for CCARDESA grants are obliged to follow these ESMF guidelines available on:

http://www.ccardesa.org/media/1/uploads/calls/ccardesa_environmental_%26_social_management_framework_march_14%5B1%5D.pdf

It is a requirement that all projects must be screened to identify the environmental and social impacts before a recommendation for funding is made. Initial screening of the projects will be carried out by the project proponents as part of the FP, technical assistance from the officer responsible for environmental management (including pesticide management issues) within CCARDESA will be made available if necessary. The formal screening process will be done with the aid of an Environmental and Social Screening Form (ESSF). The use of the screening form will ensure objectivity and transparency. Completing the form will enable the project proponent to identify potential environmental and social impacts that may result from project implementation. The ESSF

will be included as part of the project evaluation and screening process described in the CCARDESA MTOP and the CCARDESA Sub-Grants Manual. The ESSF will be submitted along with the other evaluation materials for each project proposal by the Chair of the Technical Working Group to the CCARDESA Grants Management Unit committee.

Based on the results from the screening exercise, the officer responsible for environmental management within CCARDESA shall assign an appropriate environmental category (A, B or C). Only those projects categorised as B or C would be approved for further screening for possible funding.

It is the responsibility of the project proponent to develop an Environmental and Social Impact Assessment (ESIA) and/or Environmental & Social Management Plan (ESMP), and an Integrated Pest Management Plan (IPMP). The proponent can develop the instrument themselves or hire a consultant to do it, at their own cost. This should be done in line with this ESMF and the legal requirements of the relevant countries.

During the monitoring and evaluation of the supported projects, CCARDESA will include special tools for monitoring the compliance of the project implementation to the CCARDESA ESMF. In the event of serious breach of the CCARDESA Environment & Social Management Framework (ESMF), the project could be suspended or terminated. Annex 9 contains further background on the ESMF, the Environmental & Social Screening Form (ESSF) and the proposed structure of the ESMP and IPMP.

6.6 Commissioning of Projects

Accepted FPs will be advised and a copy of the contract for grant award will be sent to the applicant for comments and negotiations. The GMU and the successful applicants will agree on the administrative arrangements relating to the effective start date and end date of the project, the contribution of the Consortium to the project costs, disbursement of funds, reporting and evaluations. These will be finalised through a signed Contract with the Lead Institution and participating partners. A project launch will then be organised as soon as the initial project funds have been disbursed. Figure 4 summarises the steps that will be taken from the initial call for proposals until it is launched.

6.7 Special projects: unsolicited

Under exceptional situations, CCARDESA may accept unsolicited proposals from eligible organisations in the region on condition that such proposals:

- a) Address a new and topical issue requiring urgent attention
- b) Respond to a new development of concern to the region, and which may not have been foreseen in the past
- c) Respond to a call/request/decision of SADC Member States through appropriate SADC policy or technical meetings

Such projects proposals shall be assessed internally by CCARDESA and later subjected to external independent review. In this case, such proposals shall enter at stage 6 of the procedure outlined in Figure 4

7. MONITORING AND EVALUATION PROCESS

One of the key success factors of grant scheme systems is a rigorous monitoring and evaluation system. This must be both internal at project level and external at CCARDESA level. The reporting system specified in the grant contract will have to be adhered to.

Upon award of the research grant, the grantee will be required to:

- a) Submit a detailed M&E framework of the project based on the logframe in the proposal,
- b) Provide the name(s) of lead person(s) responsible for M&E in the project,
- c) Provide information specific to the environmental and social safeguards in relation to the activities to be performed under the project,
- d) Make time for CCARDESA to provide a short training on financial management and control requirements for people directly involved in the handling of funds for the project

The CCARDESA M&E specialist will guide the grantees in the development of the M&E framework and also provide leadership in ensuring that the grantees conform to the ESMF. Where necessary, an environmental specialist and other relevant experts will be sourced to assist with the development of appropriate monitoring and compliance tools for the ESMF.

The responsibility of ensuring that the project runs smoothly lies with the lead institution of the consortium. Any signs of factors that can result in delays must be urgently communicated. This will ensure that the GMU will be able to provide all the backstopping required and all corrective action is taken timely.

All reports must relate to the logical framework targets and any deviations must be clearly indicated with proposed corrective action. The budgetary implications of any deviation must also be reported upon at both line item level and total budget level. Necessary prior approvals where required must be requested in time. More detailed guidance will be contained in the CCARDESA M&E Manual.

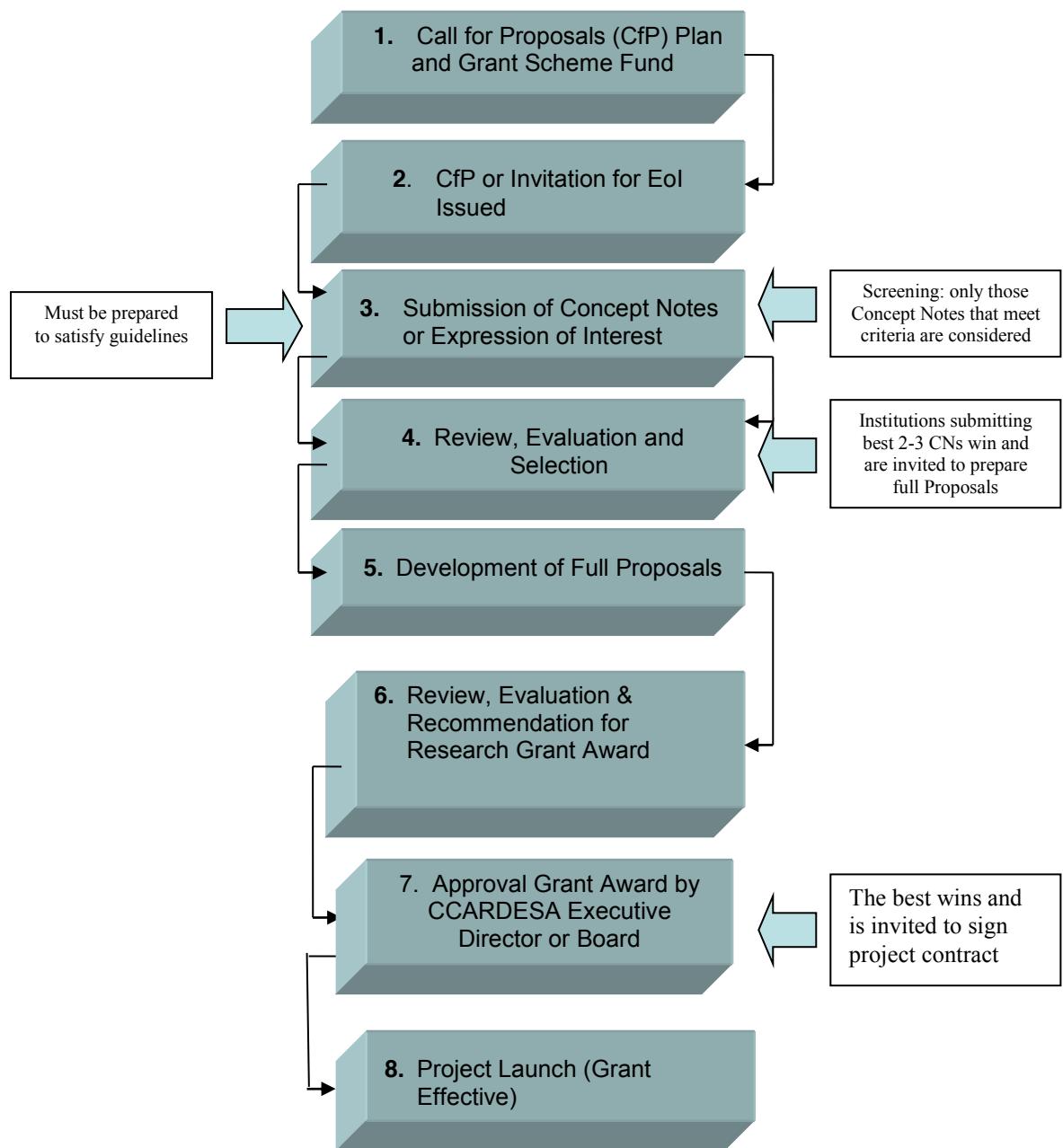
Grantees are required to provide technical and financial reports to CCARDESA on a regular basis. Technical reports are classified into three categories: mid-year reports, annual reports and final report. These should be submitted in accordance with the guidelines provided in Annex 10. In addition to the technical reports, CCARDESA shall arrange M&E missions whose purpose will be to give implementation support to the grantees. Details for the financial management and reporting are provided in Annex 8.

8. COMMUNICATION AND KNOWLEDGE SHARING

All CCARDESA supported projects must develop and implement a clear strategy for disseminating the results of the activities to different stakeholders and widely sharing the knowledge generated from the project. The communication and knowledge sharing plan of the project should drive the project activities and determine the implementation approaches to be adopted.

This strategy needs to ensure that all the outputs of the project are effectively shared in the region in order to increase the application of the outputs throughout the SADC countries. Thus, the communication and knowledge-sharing plan of the project must be well-articulated and adhered to during implementation of the project. It should explain how the findings of the project will be reported, channels of reporting to different audiences/target groups, routes to be used for reaching the end-users, communication knowledge sharing and learning plan to be adopted etc. Annex 11 provides a template for developing a communication and knowledge sharing plan for the project.

Figure 4: The Grant Screening, Evaluation, Selection and Launch Process



ANNEXES

ANNEX 1: Institutional Assessment Form

Name of Prospective Sub---Grantee Institution: _____ Date _____

(Note: This self-assessment feedback should be completed by the Senior Financial Manager of the Sub-Grantee in consultation with all the Financial, Administrative, Procurement and Programmatic staff so that the feedback expressed in this form represents the position of the Institution.)

Assessment Elements	Yes	No	N/A	Explanatory notes to the responses	CCARDESA's review and recommendations
1. Budget					
1.1. Are the project Activities and Budgets realistic, based on valid assumptions and developed by knowledgeable staff of the Institution?					
1.2. Are written procedures in place to plan project activities and prepare related budgets, involving all support units (e.g. Finance, Procurement, etc.)?					
1.3. Are budgets prepared for all significant activities in sufficient detail to provide a meaningful base					
1.4. Are prior approvals required for variations from the original approved budgets?					
2. Accounting					
2.1. Does the Institute adopt acceptable national or international accounting standards?					
2.2. Are there written policies and procedures covering all routine accounting and related administrative activities?					
2.3. Is the accounting function staffed adequately with experienced and qualified persons? (Attach)					
2.4. Is the chart of accounts adequate or can it be adapted to properly account for, and report on all project activities?					
2.5. Is the accounting & reporting system computerized? If not, are the manual systems adequate to account for project activities in a timely manner?					
3. INTERNAL CONTROLS					

3.1. Are approval and authorization controls in place and properly documented?						
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Assessment Elements	Yes	No	N/A	Explanatory notes to the responses	CCARDESA's review and recommendation
3.2. Do policies and procedures clearly define conflict of interest and related party transactions (<u>real and apparent</u>) and provide safeguards to protect the organization					
3.3. Are bank reconciliations prepared by someone other than those who process or approve payments? Are all unusual items on the bank reconciliation reviewed and approved by a responsible official? How regularly are reconciliations prepared?					
3.4. Are memorandum records for fixed assets and stocks kept up to date and reconciled with control accounts? Are assets sufficiently covered by insurance					
3.5. Is the internal audit function effective - are actions taken on the audit findings?					
4. FUNDS FLOW					
4.1. Can the Institute open and operate a separate bank account for the project?					
4.2. Are the arrangements to transfer the CCARDESA project funds to project implementing teams or units in place and can it satisfactorily be applied so that the project will not be hampered by delay of funds.					
4.3. Does the Institute have any previous experience of CCARDESA's financial accountability guidelines?					
4.4. Are the project beneficiaries required to contribute to project costs? If beneficiaries have an option to contribute in kind (in the form of labour input or any other input), are proper guidelines formulated to record and value the labour contribution?					
5. FINANCIAL REPORTING					
5.1. Has the project established & documented financial reporting responsibilities that specify what reports are to be prepared, when they are to be prepared, periodicity of preparation and content, who the authorizing authority are?					
5.2. Are financial reports used by management?					
5.3. Do the financial reports compare actual expenditure with the budget allocations?					
6. EXTERNAL AUDIT					
6.1. Is the Institute financial statement audited regularly by an independent auditor? <u>Who appoints the auditors?</u>					
6.2. Are the audit reports up to date? When was the last auditors review reported?					

6.3. Is the audit of the Institute conducted in accordance with international standards of auditing or other acceptable standards?					
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Assessment Elements	Yes	No	N/A	Explanatory notes to the responses	CCARDESA's review and recommendation
6.4. Were there any major accountability issues identified in the audit report of the past three years?					
6.5. Does the project prepare acceptable terms of reference for an annual audit?					

Self-Assessment Completed by _____ Email:

Position/Title: _____ Tel No: _____

Date: _____

Annex 2: Guidelines and Format for Preparation of Concept Notes

General Information on Preparation and Submission of a Concept Note

The following notes provide information for preparing a Concept Note (CN).

Once the CN is completed it should be forwarded to the CCARDESA Executive Director. A bound hard copy and a soft copy (CD or memory stick) MUST be received by the Grant Management Unit (GMU) Office before the specified deadline. Submissions received after the deadline will not be considered. Applications **MUST STRICTLY** follow the format provided in this form.

All sections in the form must be completed. The CN must be typed single-spaced on one side standard A4 paper only. Where text is not typed in the provided text boxes, all margins must be at least 1 inch. The type font must be 12pt Times New Roman (NOT CONDENSED). Failure to follow this prescribed format will result in exclusion from further consideration.

SECTION 1	COVER PAGE (do <u>not</u> make entries in shaded cells)
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This cover page must be the first sheet of each copy of the proposal.

2.	For which R & D call is this CN submitted?	Insert R & D call ref no.*	

3a.	Title of Proposed Project (not more than 10 words)	
3b.	CCARDESA-Grant ref. no.:	

4.	Lead Responsibility	
4a.	Name of Principal Investigator (PI):	
4b.	Name of PI's Organisation	
4c.	Name and designation of authorised signatory approving PI's submission:	

5.	PI's contact details:	<i>Provide best contact details possible in cells below</i>
5a.	Location:	
5b.	Mailing address (if different from above):	
5c.	Telephone number(s):	Land line Option 1
		Land line Option 2
		Mobile
5d.	Fax number:	
5e.	Email:	

6a.	Total cost of proposed project:	Figure MUST be the same as total in Section 10	
6b.	Budget figure in RC		

7a.	PI dispatch of CN		-
7b.	Receipt of CN		

SECTION 2	EVIDENCE OF COMPLIANCE
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Provide the names, addresses, phone numbers, and e-mail addresses of all partner organisations. Signed letters from the authorised signatories are required (Sections 11 & 12). Cross check your submission for other eligibility criteria (Annex 6) before submission.

8.	Names of participating member countries & institutions	
----	--	--

9.	Partner organisations:	Name:	<i>Address & telephone, fax, email details</i>
	Partner 1		
	Partner 2		
	Partner 3		
	Partner 4		
	Add more if relevant		

10.	Backstopping NPP(s)	
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11.	Checklist for compliance:	<i>Plentry</i>	<i>CCARDESA-Grant entry</i>
11a.	No. of participating member countries		
11b.	No. of partner organisations		
11c.	At least 1 partner per participating member country (Yes/No)		
11d.	Covering letter signed by person in row 4c (see Section 11)		
11e.	Signed letters by appropriate senior staff from Organisations named in row 9 (see Section 12)		

12.	Word Count per text box section of the CN:		
French submissions allowed	Section 3: 1 page max		
	Section 4: 250 words max		
	Section 5: 400 words max		
	Section 6: 1 page max		
	Section 7: 400 words max		
	Section 8: 600 words max		

Section 9: 400 words max		
Section 13: 2pages each CV max		

SECTIONS 3-10 | PROJECT DESCRIPTION

GUIDELINE INFORMATION

The project description shall comprise sections 3-10 as explained below. It is advisable that the logical framework (Section 14) is prepared before the narrative in these sections

SECTION 3 | BACKGROUND

GUIDELINE INFORMATION

The background should explain the authors' understanding of the developmental rationale for the R & D in the context of the specified goal (Overall Objective) which defines the regional development issues that inform the R & D process. It should then justify the chosen focus of the proposed R & D by providing a brief description of the nature, scope and scale of the situation and associated opportunities and/or constraints that the R & D will address and the client group(s) on which it will focus. Cite any pertinent literature.

Insert text in box immediately below (length no more than one page)

SECTION 4 | PURPOSE, RATIONALE AND RELEVANCE

GUIDELINE INFORMATION

This section should elaborate the purpose of the project. The applicants are expected to provide a very basis for undertaking the research work being proposed in the context of the sub-region's priority research issues. Explain why this research is of value in meeting the objectives and mission of CCARDESA. What will be its contribution to the food and agriculture sector in SADC region. Indicate the main social, economic or environmental benefits by category of beneficiaries and segments of the society and gender. Beneficiaries may be identified in, for example, the household, the village community or the global community, the research community and institutions involved in innovation and uptake promotion. The text should explain the changes in knowledge, attitudes, policies, R & D capacities, agricultural practices, productivity, sustainability or other factors that contribute towards meeting the objectives and purpose of CCARDESA. If applicable, state the specific hypotheses to be tested.

Insert text in box immediately below (no more than 250 words)

SECTION 5 | RESULTS AND EXPECTED OUTPUTS

GUIDELINE INFORMATION

Describe the expected R & D results which the project should attain. Results must include uptake promotion with target stakeholders covering ultimate beneficiaries and the formal and informal institutions that will utilise the findings, insights and knowledge-sharing products of the R & D and engage in the process of transferring knowledge (in various forms and in varying ways) to other relevant institutions and beneficiaries.

Insert text in box immediately below (no more than 400 words)

SECTION 6

RESEARCH PLAN/ METHODOLOGY

GUIDELINE INFORMATION

The R & D plan should provide an indication of the major planned tasks with related milestones (intermediate results) - studies, surveys, results of experimentation, applicable methods, decision support tools etc) and the engagement and communication with stakeholders that must be implemented to support the results of the project. In specifying an activity or group of activities associated with each result, a description of the design of the study/survey/experiment should be provided. Procedures by which data will be collected, analyzed, and interpreted must be clearly stated. Comments on any special challenges or pitfalls that the team foresees and its plan to deal with them should be stated. Details of the location of specific components of the R & D, including possible attention to gender and any environmental factors that will need to be considered should be included.

This section must include:

- A description of the research design providing an indication of the major planned tasks with related milestones (intermediate results) - studies, surveys, results of experimentation, applicable methods, decision support tools etc) and the engagement and communication with stakeholders that must be implemented to support the results of the project.
- Procedures by which data will be collected, analyzed, and interpreted. Include comments on any special challenges or pitfalls that you foresee, and state how you plan to deal with them. Details of the location of specific components of the research, including possible attention to gender and any environmental factors that will need to be considered should be included.
- An outline timetable (Implementation Schedule) for conducting the research and delivering the results

Insert text in box immediately below (no more than one (1) page)

SECTION 7 ENVIRONMENTAL MANAGEMENT FRAMEWORK	
GUIDELINE INFORMATION	
<p>This section should summarise the expected positive and negative impacts of the proposed project in respect to; general environment due to construction and other civil works, resettlement which in this case includes foregone benefits, natural habitats, pest management, genetically modified organisms, and an outline on mitigation measures and monitoring.</p> <p><i>This section should not exceed 600 words for CN and one page for FP</i></p>	

SECTION 8 COMMUNICATION AND KNOWLEDGE MANAGEMENT PLAN	
GUIDELINE INFORMATION	
<p>CCARDESA has adopted a healthy culture of ensuring that all its projects and programmes are driven by a robust communication and knowledge sharing plan to ensure that all outputs from each project are effectively used to deliver the project purpose. This section should summarize the communication and knowledge- sharing plan of the project. How will you report your findings? In addition to stating your plans for scientific publication, explain how your results will reach end-users (the food and agriculture sector in SADC region in general). The section should outline a communication knowledge sharing and learning plan designed to ensure that the most critical stakeholders are targeted with the content and form of information they need in order to undertake their roles, being in policy dialogue, investment decisions, and planning and implementing development projects and agricultural enterprises.</p> <p><i>This section should not exceed 600 words for CN and one page for FP</i></p>	

SECTION 9 TEAM COMPETENCE AND MULTI-DISCIPLINARITY	
GUIDELINE INFORMATION	
<p>Describe briefly what each investigator will contribute to this project, in a manner that best represents the team qualifications to do the proposed research. Clearly show how the mix of partner organisations that contribute to the team will provide the skills areas, leadership, financial and technical accountability, communication, etc. that the research requires. Include a condensed C.V. for each investigator and Institutional profile for each partner (see sections 10 and 11). The team fielded should only comprise the expertise and specialty absolutely necessary for delivery of the results. The section should also present how the project will be managed in its sub-regional context and should include financial and administrative arrangements.</p> <p>This section should not exceed 600 words for CN and one page for FP</p>	

SECTION 10 MAIN BENEFITS AND BENEFICIARIES	
GUIDELINE INFORMATION	

Indicate the main social, economic or environmental benefits by category of beneficiaries and segments of the society and gender. Beneficiaries may be identified in, for example, the household, the village community or the global community, the R & D community and institutions involved in innovation and uptake promotion.

Insert text in box immediately below (with text no more than 600 words for each case)

Economic:

Social: Gender and HIV/AIDS

Environmental:

SECTION 11 | RISKS, ASSUMPTIONS AND PRE-CONDITIONS

GUIDELINE INFORMATION

Includes those factors that might contribute to the project failing to achieve its objectives. Important assumptions are external conditions or factors over which the project cannot exert control, but on which the accomplishment of objectives depends.

Insert text in box immediately below (no more than 400 words)

SECTION 12 | BUDGET ESTIMATES

GUIDELINE INFORMATION

A detailed budget is not required when submitting CN. a detailed budget is required for the FP. You are encouraged to build into your budget all direct costs of allowable items associated with the project as given in Section 3 of the summary of guidelines and procedures. The indicative budget figure is provided in the R & D call. Financial proposals are expected to keep relatively close to this budget figure. If the proposed budget is larger than the indicative budget, justification must be provided in the covering letter accompanying the CN submission. The Currency specified in the call must be used in budgeting.

<i>Insert text in budget table immediately below</i>	
<i>Cost Item</i>	<i>Budget</i>
A. Capital Equipment (List items and specified currency amounts for major items.)	
B. Field/Office Materials and Supplies	
C. Travel	
D. Meetings and Workshops	
E. General Administrative Costs	
F. Overheads and Contingency	
Total Amount	

SECTION 13 | LETTER FROM LEAD ORGANISATION

GUIDELINE INFORMATION

The following format for the covering letter from the PI's Organisation should be used.

LETTERHEAD

[Should show physical and postal address, telephone number, fax number and e-mail address (if possessed)]

Date

The Director,
CCARDESA Grants Management Unit,

Dear Sir/Madam

Submission of Concept Note, Ref. CCARDESA yy/xxx-xxx-xx, Title

We are pleased to confirm that we will serve as the Lead Institution for the attached submission in response to the invitation reference number and title shown above. We fully authorise (**INSERT NAME OF PI**) who is a staff member of the Organisation to participate in team as Principal Investigator. We shall accept to be legally responsible for transactions with CCARDESA for the delivery of the specified R & D services if the proposal is finally approved.

Yours faithfully

Signature
Name and Title of Authorised Signatory.

SECTION 14	LETTER FROM PARTNER INSTITUTIONS
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GUIDELINE INFORMATION

The following format for the covering letter from the Participating Organisations should be used
--

LETTERHEAD

[Should show physical and postal address, telephone number, fax number and e-mail address (if possessed)]

Date

The Director,
CCARDESA Grants Management Unit,

Dear Sir/Madam

Submission of Concept Note, Ref. CCARDESA yy/xxx-xxx-xx, Title

.....

I refer to the above-mentioned Concept Note. This is to confirm that [Mr, Ms, Dr, Prof] is employed by this institution and has been adequately consulted and is fully participating in the design of the R & D proposal. It is also to confirm that he/she has the permission of the institution to participate in the delivery of R&D services should he/she be a member of the R & D team to win the grant.

Yours faithfully

[Name of officer
Position of Officer (preferably head of Institution)

SECTION 15 | SUMMARY OF C.Vs

GUIDELINE INFORMATION

In general, reviewers want to know about each investigator's: education, professional employment since terminal degree, current appointment (percent R & D, teaching, and extension; publication record and other information considered to be relevant. The sample format below should be used.

Format for Summary CV of Participants

1	Names (surname 1 st)			
2	Host organisation	Name	<i>Physical, postal address, phone, fax, email</i>	
3	Education – (<i>Tertiary and above unless highest qualification held is less than tertiary</i>)	Dates	Qualification	Institution
4	Other relevant training - <i>up to a maximum of 5 relevant technical short courses</i>	Dates	<i>Course title</i>	
5	Work Experience – (<i>up to maximum of 5 posts/assignments in reverse chronological order</i>)	Dates	<i>Positions held and main duties (indicate % time spent on R & D, teaching, outreach and advisory service)</i>	
6	Publication record – (<i>up to a maximum of 5 most relevant in the last 5 years and may include refereed R & D papers, non-refereed R & D reports, outreach/ extension publications</i>)	Dates	<i>Publication</i>	

SECTION 16	LOGICAL FRAMEWORK (TO BE PREPARED WHEN SUBMITTING FULL PROPOSAL)
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Narrative summary	Objectively verifiable indicators	Means of verification	Important assumptions
Overall Objective/Goal			
Purpose			
Results			
Activities	<i>Milestones and Budget</i>		
	Pre-conditions:		

Annex 3: Format for preparation of Expression of Interest (EoI) document

SECTION 1	COVER PAGE (do <u>not</u> make entries in shaded cells)	
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This cover page must be the first sheet of each copy of the EoI.

2.	For which R & D call is this CN submitted?	Insert R & D call ref no.*	
----	--	----------------------------	--

3a .	Title of Proposed Project (not more than 10 words)	
3b .	CCARDESA-Grant ref. no.:	

4.	Lead Responsibility	
4a .	Name of Principal Investigator (PI):	
4b .	Name of PI's Organisation	
4c.	Name and designation of authorised signatory approving PI's submission:	

5.	PI's contact details:	<i>Provide best contact details possible in cells below</i>	
5a.	Location:		
5b.	Mailing address (if different from above):		
5c.	Telephone number(s):	Land line Option 1	
		Land line Option 2	
		Mobile	
5d.	Fax number:		
5e.	Email:		

6a	Total cost of proposed project:	Figure MUST be the same as total in Section 10	
6b	Budget figure in RC		

7. Provide a summary of RELEVANT past works carried out by your organisation in relation to the Call (Not more than 1 page)

--

8 Description of the human and physical resources that the organisation will utilise in the assignment
(Not more than 600 Words)

--

9. Proposed methodology for the task in the Call (Not more than 2 pages)

--

9. Proposed work plan,

--

10. Proposed expert(s) (List the experts and their specialisation, then attach their CVs)

--

11. Budget.

SECTION 10	BUDGET ESTIMATES																
GUIDELINE INFORMATION																	
A detailed budget is not required. You are encouraged to build into your budget all direct costs of allowable items associated with the project as given in Section 3 of the summary of guidelines and procedures. The indicative budget figure is provided in the R & D call. Financial proposals are expected to keep relatively close to this budget figure. If the proposed budget is larger than the indicative budget, justification must be provided in the covering letter accompanying the CN submission. The Currency specified in the call must be used in budgeting.																	
<p><i>Insert text in budget table immediately below</i></p> <table border="1"> <thead> <tr> <th><i>Cost Item</i></th> <th><i>Budget</i></th> </tr> </thead> <tbody> <tr> <td>A. Capital Equipment (List items and specified currency amounts for major items.)</td> <td></td> </tr> <tr> <td>B. Field/Office Materials and Supplies</td> <td></td> </tr> <tr> <td>C. Travel</td> <td></td> </tr> <tr> <td>D. Meetings and Workshops</td> <td></td> </tr> <tr> <td>E. General Administrative Costs</td> <td></td> </tr> <tr> <td>F. Overheads and Contingency</td> <td></td> </tr> <tr> <td align="right" style="text-align: right;"><i>Total Amount</i></td> <td></td> </tr> </tbody> </table>		<i>Cost Item</i>	<i>Budget</i>	A. Capital Equipment (List items and specified currency amounts for major items.)		B. Field/Office Materials and Supplies		C. Travel		D. Meetings and Workshops		E. General Administrative Costs		F. Overheads and Contingency		<i>Total Amount</i>	
<i>Cost Item</i>	<i>Budget</i>																
A. Capital Equipment (List items and specified currency amounts for major items.)																	
B. Field/Office Materials and Supplies																	
C. Travel																	
D. Meetings and Workshops																	
E. General Administrative Costs																	
F. Overheads and Contingency																	
<i>Total Amount</i>																	

Appendix : Sample compliance evaluation form

CCARDESA Research Grants Management System Proposal Accession Form with Compliance Record
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Field	Field Description	Record: Information that is entered
	Accession details:	
01.	Proposal reference number	
02.	Research Call ref number	
03.	File identifier of research call (as given in Section 6 of each research call)	
04.	Principal Investigator	
05.	Lead Organisation	
06.	Date received	
07.	Specified ceiling budget	

08.	Proposed budget	
-----	-----------------	--

Compliance Requirement (CR):		Compliance Finding	
	<i>Decision criteria for compliance</i>	<i>Entries based on Sections 1&2 of the submitted proposal</i>	<i>Compliant Yes or No</i>
01.	Submission received before closing date		
02.	Soft copy received		
03.	Hard copy received		
04.	Given format followed – no deletions, no additions		
05.	All sections / boxes duly filled		
06.	Responding to specified call (correct call ref. number & title)		
07.	Requested currency used		
08.	Total cost not exceeding funding limit		
09.	Required number of member countries named as participating		
10.	Required number of partner organisations named as participating		
11.	Principal investigator from a NARS institution		
	Compliance Outcome:		
12.	Compliance Decision (either compliant OR non-compliant)		
13.	Reason if non-compliant (enter non-compliant CR number(s) from above)		
14.	Date of assessment		
15.	Confirmation of Assessment by Executive Director/ Programmes Manager		

Annex 4: Guidelines for Preparation of a Logical Framework for a Project Proposal

The logical framework is a management tool that aims to promote good project design by clearly stating the defined project logic and components.

1. The logical structure linking the components takes the form: **IF** (activities) **AND** (assumptions) **THEN** (outputs), **IF** (outputs) **AND** (assumptions) **THEN** (purpose), and so on.
2. The logical framework must define the project in terms of Goal - Purpose – Outputs – Activities using measures of **Quantity – Quality – Time**.
3. Logical frameworks are living documents, which may change over the life of the project according to the changes in the external environment and to any alterations that need to be made to the outputs.
4. The information contained is generated during the design of the project and is used to manage project implementation. Extra information with more detail about work plans and procedures can be inserted into the Project Memorandum and should accurately capture the flow of work and the way that the project will achieve the outputs, bearing in mind that modification of the logical framework is possible throughout the life of project.
5. The logical framework must show how progress towards achieving the project purpose will be achieved.
6. The logical framework consists of a 4x4 matrix, with a vertical hierarchy of objectives as shown below.

Narrative Summary	Objectively verifiable Indicators	Means of Verification	Risks and Assumptions
Goal:			
Purpose:			
Outputs:			
Activities:	Inputs and Budgets		

7. The components of the matrix are defined as follows:
 - a) The Goal is the higher level objective or longer-term impact of the project on national or development agency objectives;
 - b) The Purpose is the measurable near-term impact of the project which is the final accomplishment of the project;
 - c) The Outputs are the results or deliverables of the project that the project leader can guarantee;
 - d) The Activities are the key activities undertaken by the research team that summarises the action strategy to produce the outputs;

- e) The indicators are measurements to verify to what extent the objectives at each level are achieved, targeted in terms of quantity, quality and time;
- f) The means of verification are the specific sources of data necessary to verify the indicators at each objective level;
- g) The assumptions are important events, conditions and decisions outside the control of the project that are necessary for the meeting of the objectives.

The procedure for constructing the logical framework is given below.

Define the Overall Goal

- 8. The rationale for the project. A portfolio of projects may share the same goal. The goal, at project level, will already have been defined as the PROGRAMME PURPOSE that the project seeks to address.

Define the Purpose

- 9. Why is the project being done, in terms of the desired impact? The project purpose means the impact which it is hoped to generate by producing project outputs. The project should only have one clearly stated purpose which is not a reformulation of the outputs, and which is outside the management responsibility of the project. The purpose, at project level, may have been defined as the PROGRAMME OUTPUT to which the project contributes.

Define the Outputs

- 10. What is the project to accomplish? These are the research results or products appropriate to the project purpose, the delivery of which is ensured by the project leader.
- 11. The outputs should be clearly stated as results and all of them should be necessary for accomplishing the purpose of the project. Outputs can be written to show their sequence over time.
- 12. In the case of process projects, it may only be possible to specify outputs for the first year or so, in which case the final output would indicate that, by a certain date, the logical framework would be re-written with a new set of outputs approved by the appropriate stakeholders collaborators, managers, etc.).

Define the Activities

- 13. How will the project be accomplished? Activities are the action components needed to accomplish the outputs, and are the responsibility of the researcher.
- 14. Each objective at the output level should have an activity or group of activities associated with it; the activities defining the action strategy for accomplishing each output.

Verify the Vertical Logic

15. Use the IF () AND () THEN () logic path to check links between the objective levels. Another way of doing this is to ask the question “how” in moving down the hierarchy, and the question “why” in moving upwards.
16. The if/then relationship between the purpose and goal should be logical and not omit important steps. The vertical logic among activity, output, purpose, and goal should be realistic as a whole.

Define the Important Assumptions

17. These should be defined at the following levels:
 - at the purpose level
 - at the output level
 - at the activity level, and
 - at the goal level
18. Important assumptions are external conditions or factors over which the project chooses not to exert control or does not have control, but on which the accomplishment of the objectives depends.
19. Failing assumptions can derail a project as often as poorly executed outputs, e.g., good co-operation with an overseas institution needed, rains do not fall, access to suitable field sites.
20. The Purpose plus Assumptions at that level should describe the critical conditions for achieving the Goal.
21. The Purpose plus Assumptions at that level should produce the necessary and sufficient conditions for achieving the Purpose.
22. The Assumptions at the Activity level should not include any preconditions; these may be placed below the activity level assumptions, as separate items.

Define the Measurable Indicators

23. Indicators should be defined at:
 - Goal Level
 - Purpose Level
 - Output Level
 - At the Activities level, show a budget summary and the inputs required.
24. It is important that indicators are measurable. They are constructed in four stages. For examples if an Output is Improved institutional capacity, then an indicator for this may be developed as follows:
 - Define the indicator - Training completed
 - Indicate the Quality - MSc and PhD training completed
 - Indicate the Quantity - 3 MSc and 2 PhDs completed
 - Indicate the Time – 3 MSc and 2 PhDs completed by 2015

25. Indicators should define in measurable detail the result of achieving the Output. They must be targeted. Targeting involves putting numbers and dates on indicators, and this is important if monitoring (at the output level) and evaluation (at the purpose level) are to be carried out effectively.
26. The Purpose indicators should also have measures of quantity, quality and time (QQT) measures and be independent from the Outputs.

Define the Means of Verification

27. The means of measuring the objectively verifiable indicators (OVIs) at each of the log-frame levels (Goal, Purpose, Output and Activity) should be described.
28. Identify sources of information for verifying the indicators, in order to demonstrate what has been accomplished.
29. At the Activity level these would follow the CCARDESA requirements, of progress, annual and final reports.
30. At the Output level these will often be publication of government or aid agency statistics. The activities should identify any actions required for gathering means of verification.

Review the Logical Framework

31. To set up a monitoring and evaluation system, complete the log-frame, paying particular attention to the INDICATORS and VERIFICATION columns. The completed log-frame then forms the basis for the project monitoring and evaluation plan.

Key Questions

Goal

- What is the overall problem which the project is trying to solve?
- How will the project contribute to its solution?
- How will the contribution be measured?
- What other key conditions need to be met and what are the risks?

Purpose

- What will be the project's direct effects and impacts?
- How will these help to solve the problem?
- How will the effects and impacts be measured?
- What other key conditions need to be met if the project is to contribute to the goal and what are the risks?
- How will the benefits be sustained?

Outputs

- What will the project deliver?
- How will the outputs be measured?
- What other key conditions need to be met if the outputs are to achieve the purpose and what are the risks?

Activities

- What is going to be done?
- What know-how, goods and equipment are required?
- What finance is required?
- What other key conditions need to be met if the activities are to be produced the outputs and what are the risks?

Annex 5: Guidelines and Format for Preparation of Full Proposals

Name of applicant:

Application Reference No	
-----------------------------	--

(for official use only)

NOTICE:

Please read and complete this form with due care. Omissions cannot be rectified; if any information or document is missing, your application will be rejected.

I. THE PROJECT

1. Description

1.1. *Title:*

.....
.....

1.2. *Location(s) [Country(ies), region(s), town(s)]:*

.....
.....

1.3. *Amount requested from CCARDESA*

Total eligible cost of the project	Amount requested from CCARDESA	% of total cost of project
< USD >	< USD >	%

Where the financing in full of the project by CCARDESA is allowed by the Guidelines for Applicants, justify your request to benefit from such financing in full, by showing that it is essential to carry out the project.

1.4. *Summary*

Maximum 10 lines (include information on (a) the aim of the project, (b) the target group(s) and (c) the main activities). Where applicable, clearly indicate the sector, theme, or geographical area specified in the call for proposals to which the proposed project would apply.

1.5. *Objectives*

Maximum 1 page. Describe the overall objective(s) and the specific objective of the project.

1.6. *Justification*

Maximum 3 pages. Provide the following information:

- (a) relevance of the project to the objectives of the programme
- (b) relevance of the project to the priorities of the programme
- (c) identification of perceived needs and constraints in the target countries
- (d) list of target groups and estimated number of direct and indirect beneficiaries
- (e) reasons for the selection of the target groups and activities
- (f) relevance of the project to the target groups

1.7. *Detailed description activities*

Maximum 9 pages. Include the title and a detailed description of each activity to be undertaken to produce the results, specifying where applicable the role of each partner (or associates or subcontractors) in the activities. In this respect, the detailed description of activities must not be confused with the plan of project (see 1.9).

1.8. *Methodology*

Maximum 4 pages. Detailed description of:

- (a) how the project is intended to build on a previous project (where applicable)
- (b) level of involvement and activity of other organisations (partners or others) in the project
- (c) methods of implementation
- (d) procedures for internal evaluation
- (e) reasons for the proposed methodology
- (f) reasons for the role of each partner
- (g) team proposed for implementation of the project (*by function: there is no need to include the names of individuals here*)

1.9. *Duration and Project Plan*

The duration of the project will be XXX months. *Note:* The indicative project plan must not mention real dates, but must simply show "month 1", "month 2", etc. Applicants are recommended to leave a certain amount of slack in the timetable of their Sub project plan as a precaution. The project plan should not include detailed descriptions of activities, but just their title (please ensure that these match the titles listed in section 1.7). Any months without activities must be included in the project plan and the duration of the project.

The project plan for the first year of implementation should be sufficiently detailed to give an overview of the preparation and implementation of

each activity. The project plan for each of the following years (depending on the project's duration) may be more general and should only list the main activities foreseen for those years.²

The project plan must be drawn up using the following format:

Year 1														
Activity	Month	Period 1						Period 2						Implementing body
		2	3	4	5	6	7	8	9	10	11	12		
<i>Example</i>	<i>examp</i>												<i>Example</i>	
Preparation Activity 1(title)													Local partner 1	
Execution Activity 1(title)													Local partner 1	
Preparation Activity 2 (title)													Local partner 2	
Etc.														

For the following years:											
Activity	Period 3	4	5	6	7	8	9	10	11	12	Implementing body
<i>Example</i>	<i>example</i>										<i>example</i>
Execution Activity 1(title)											Local partner 1
Execution Activity 2(title)											Local partner 2
Preparation Activity 3 (title)											Local partner 1
Etc.											

² A more detailed project plan for each subsequent year will have to be submitted before receipt of new pre-financing payments, pursuant to Article 2(2) of the General Conditions of the grant contract

2. Expected Results

2.1. *Expected impact on target groups*

Maximum 2 pages. Indicate how the project will improve:

- (a) the situation of target groups
- (b) the technical and management capacities of target groups or partners (where applicable)

2.2. *Publications and other outputs*

Maximum 1 page. Be specific and quantify outputs as much as possible.

2.3. *Multiplier effects*

Maximum 1 page. Describe the possibilities for replication and extension of the project outcomes.

2.4. *Short- and long-term impact*

Maximum 3 pages. Please distinguish between the following three dimensions of the short and long-term impact:

- (a) The financial aspect (*how will activities be financed when the grant ends?*)
- (b) Institutional level (*Will structures allowing the activities to continue be in place at the end of the project? Will there be local "ownership" of project outcomes?*)
- (c) Policy level (*What structural impacts will the project have - e.g. will it lead to improved legislation, codes of conduct, methods, etc?*)

3. Budget for the project

Fill in budget worksheet for the total duration of the project and for its first 12 months.

II. THE APPLICANT

1. Identity

Full legal name (business name):	
Acronym (where applicable)	
Legal status	
VAT registration number (where applicable):	
Official address	
Postal address	
Contact person	
Telephone number	
Fax number	
E-mail	
Internet site	

2. Bank details (If available)

The bank must be located in the country where the applicant or where one of the network members is registered.

Account name	
Account number	
Sort code	
IBAN code (optional)	
Bank name	
Address of bank	
Name of signatory/ies	
Position of signatory/ies	

3. Description of applicant (one page maximum)

3.1. When was your organisation founded and when did it start its activities?

.....

.....

3.2. What are the main activities of your organisation at present?

.....

.....

3.3. List of the management board / committee of your organisation

Name	Profession	Sex	Position	Years on the board
		F / M		
		F / M		

4. Capacity to manage and implement projects

4.1. Experience of similar projects (Maximum 1 page per project)

Please provide a detailed description of projects managed by your organisation over the past five years in the fields covered by this programme, taking care to identify for each project:

- (a) donors to the project (name, address and e-mail, telephone number, amount contributed)
- (b) the cost of the project
- (c) the object and location of the project
- (d) the results of the project
- (e) your organisation's role (lead manager or partner) and its degree of involvement in the project

In addition, please provide information in response to the following questions:

Transparency

What is the legal corporate status of your organisation(i.e. government, parastatal, NGO etc)?

Who owns the organisation?

Furnish us with the Memorandum/Article of Association and the list of Board of Directors

How long has the organisation been in existence?

What are the rules of your organisation with respect to price negotiations, and acquisition of goods and services?

In the acquisition of goods and services, are all bidders/suppliers/Contractors obliged to provide performance securities for all classes and values of contracts?

What rules do you have for preventing conflict of interest for staff involved in tenders?

What are the key procedures in your organisation for dealing with complaints of Firms/Consultants complaints?

Briefly Explain the anti-corruption provisions contained in your bid documents

Accountability

Do you have published code of ethics? If yes, briefly explain the features

Describe the existing system for handling bidders'/suppliers' complaints

Procurement planning

Kindly provide a copy of a procurement plan for your organisation

Explain the extent to which you adhere to the plans and the challenges (if any) faced

How does your organisation monitor procurement?

Bidding

Are your procurement staff familiar with the CCARDESA/World Bank Procurement Policies, bidding documents to be used in CCARDESA financed projects? **Yes or No**

What is their experience of correctly filling Bid Data Sheet and drafting Special Conditions of Contract? -Give details

Furnish a copy of bidding documents/conditions of contract generally adopted in your organization work (goods, works, services). **Attach copy**

Do you have a standard purchase order form? **Yes or No** Furnish a copy.

How do you handle/store bids received prior to the deadline? **Give details.**

What is the time gap between deadline for submission of bid and its opening?

What is the composition of Evaluation (Tender) Committee for a typical large value contract (Give details indicating their powers).

What are the criteria generally adopted for award of contract?

CONTRACT

Do you have manual or computerized procurement and/or contract monitoring systems? Submit samples

ORGANIZATION

Describe general organization of procurement unit. Furnish project procurement organization chart staff at each line.

Furnish academic qualifications of key procurement staffs. Give details.

SUPPORT AND CONTROL

What entities carry out audit functions both internal and external?

RECORD KEEPING

What records are maintained by the procurement unit starting from the process of public evaluation of bids, signing of contract, furnishing of

performance securities etc.? Describe.

This information will be used to assess whether you have sufficient experience of managing projects in the same sector of a comparable scale to the one for which you are requesting a grant.

4.2. Resources

Maximum 3 pages. Please provide a detailed description of the various resources which your organisation has access to, and in particular, of the following:

- (a) annual income over the last three years, mentioning where applicable for each year, the names of the main financial backers and the proportion of annual income each has contributed
- (b) equipment and offices
- (c) other relevant resources (e.g. *volunteers, associated organisations, networks that might also contribute to implementation*).
- (d) the number of full-time and part-time staff by category (e.g. *number of project managers, accountants, etc*), indicating their place of employment

This information will be used to assess whether you have sufficient resources to implement the project of the scale of the one for which you are requesting a grant.

5. Other applications made to other Funding Agencies

Project title and reference number	Other source	Amount (USD)

III. PARTNERS OF THE APPLICANT PARTICIPATING IN THE PROJECT

1. Description of the partners

This section must be completed for each partner organisation. Any associates as defined in the same section need not be mentioned. You must make as many copies of this table as necessary to create entries for more partners.

	Partner 1	Partner 2
Full legal name (business name)		
Nationality		
Legal status		
Official address		
Contact person		
Telephone number		
Fax number		
E-mail address		
Number of employees		
Other relevant resources		
Experience of similar projects, in relation to role in the implementation of the proposed project		
History of cooperation with the applicant		
Role and involvement in preparing the proposed project		
Role and involvement in implementing the proposed project		

Important: This application form must be accompanied by a signed and dated partnership statement from the main applicant and from every partner, in accordance with the model provided on the next page.

2. Partnership statement³

A partnership is a relationship of substance between two or more organisations involving shared responsibilities in undertaking the project funded by CCARDESA. To ensure that the project runs smoothly, CCARDESA requires all partners (including the lead applicant that signs the contract) to acknowledge this by agreeing to the principles of good partnership practice set out below.

2.1. Principles of Good Partnership Practice

1. All partners must have read the application form and understood what their role in the project will be before the application is submitted to CCARDESA.
2. All partners must have read the standard grant contract and understood what their respective obligations under the contract will be if the grant is awarded. They authorise the lead applicant to sign the contract with CCARDESA and represent them in all dealings with CCARDESA in the context of the project's implementation.

³ To be provided by the applicant and each partner in all cases where there is a partner in addition to the applicant.

3. All partners must receive copies of the reports - narrative and financial - made to CCARDESA.
4. Before the end of the project, the partners must agree on an equitable distribution of equipment, vehicles and supplies for the project purchased with the CCARDESA grant among local partners situated in the target countries. Copies of the transfer titles must be attached to the final report. These assets must remain available for use in the next project if they are still in a serviceable condition.
5. Proposals for substantial changes to the project (e.g. activities, partners, etc.) should be agreed by the partners before being submitted to CCARDESA. Where no such agreement can be reached, the applicant must indicate this when submitting changes for approval to the CCARDESA.
6. The applicant must consult with its partners regularly and keep them fully informed of the progress of the project.

2.2. Statement of partnership

We have read and approved the contents of the proposal submitted to CCARDESA. We undertake to comply with the principles of good partnership practice.

Name	
Organisation	
Position	
Signature	
Date and Place	

3. Declaration by Applicant

I, the undersigned, being the person responsible in the applicant organisation for the project, certify that:

- (a) the information given in this application is correct; and
- (b) the applicant has the sources of financing and professional competence and qualifications.

Name	
Organisation	
Position	
Signature	
Date and Place	

Appendix

Assessment Form for Administrative Compliance of Full Proposals

CCARDESA Grant Management Unit

Field	Field Description	Record: Information that is entered
	Accession details:	
01.	CN reference number	CALL1-14-CN
02	FP reference number	CLL-1-14-FP
03.	R & D Call ref number	CCARD-CFP-14-01
04.	File identifier of R & D call (as given in Section 6 of each R & D call)	N/A
05.	Principal Investigator	
06.	Lead Organisation	
07.	Date received	
08.	Specified ceiling budget	
09.	FP proposed budget	

Compliance Requirement (CR):		Compliance Finding
	Decision criteria for compliance	Entries based on Sections 1&2 of the submitted FP
01.	Submission received before closing date	
02.	Soft copy received	
03.	Hard copy received	NA
04.	Given format followed – no deletions, no additions	
05.	All sections / boxes duly filled	
06.	Responding to specified call (correct call ref. number & title)	
07.	Requested currency used	
08.	Total cost not exceeding funding limit	
09.	Required number of member countries named as participating	
10.	Required number of partner organisations named as participating	
11.	Commitment letter from lead institution received	
12.	Principal investigator from a SADC NARS institution	
13.	Commitment letters from all partner institutions received	
	Compliance Outcome:	
17.	Compliance Decision (either compliant OR non-compliant)	
18.	Reason if non-compliant (enter non-compliant CR number(s) from above)	
19.	Date of assessment	
20.	Assessment by GMU	
21.	Confirmation of Assessment by Head GMU	

Assessor 1 _____

Assessor 2 _____

Assessor 3 _____

Checklist

Before dispatching your application, please check that it is complete (see Notice Cover page) and specifically that:

The application form

- The dossier is complete and complies with the application requirements
- One original and three copies of all documents are annexed
- An electronic copy of the file is dispatched or enclosed
- The dossier is typed and is in any of the SADC languages (Final versions must be in English)
- The declaration by the applicant is signed and attached
- If there are partners, the applicant has completed and signed a partnership statement, also included
- Each partner has completed and signed a partnership statement and the statements are included
- The budget and the expected sources of funding are presented in the format of the application form completed and drawn up in USD.
- In the budget CCARDESA's contribution is identified and is a maximum of 95% of the total eligible costs of the project
- In the budget, overheads do not exceed 4% of direct eligible costs
- The logical framework for the project has been completed where required

Supporting documents

- The applicant's statutes or articles of association are included
- The most recent annual report of the applicant is annexed
- The most recent accounts of the applicant are annexed (profit and loss account and balance sheet for the last financial year for which the accounts have been closed)
- Where the application is for a grant of more than USD 300,000 , an external audit report produced by an approved auditor is annexed, certifying the accounts for the last financial year available and stating to what extent, in the auditor's opinion, the applicant has stable and sufficient sources of finance to maintain its activity throughout the period during which the project is being carried out and, where appropriate, to participate in its funding
- The statutes or articles of association of all partners are annexed
- Details of the environmental impact assessment of the project and the communication plan the project plans to adopt are annexed
- The originals of the supporting documents required or, failing this, photocopies certified by an approved independent agency and, where such documents are in a language other than the language(s) of the call for proposals, reliable translations are annexed.
- the appropriate Legal Entity documentation is annexed. Although not a requirement of the application process completion of this form now will save time in preparation of the contract should your application be successful.

Annex 6. Budget for the project

The Budget must cover all eligible costs of the project, not just the CCARDESA's contribution. All items must be broken down into their individual components.

The number of units for each component must be specified

Total Project Budget (All Years)					Year 1 indicative costs (This section must be completed if the project is to be implemented over a period of more than 12 months)			
Expenses	Unit	# of units	Unit rate (USD)	Total Costs (USD)	Unit	# of units	Unit rate (USD)	Total Costs (USD)
1. Human Resources [If staff are not working full time on the project, the percentage should be indicated alongside the description of the item and reflected in the number of units (not the unit rate)].								
1.1. Salaries (gross amounts, local)								
1.1.1. Technical	Per month			0	Per			0
1.1.2. Administrative/ support	Per month			0	Per			0
1.2. Salaries (gross amounts,	Per month			0	Per			0
1.3. Per diems for missions/travel5								
1.3.1 Abroad (staff assigned to	Per diem			0	Per			0
1.3.2 Local (staff assigned to the	Per diem			0	Per			0
1.3.3 Seminar/conference	Per diem			0	Per			0
Subtotal Human Resources				0				0
2. Travel [Indicate the country where the per diems are incurred and the applicable rates (which must not exceed the scales approved by CCARDESA). Per diems cover accommodation, meals and local travel within the place of the								

2.1. International travel (<i>indicate place of departure and destination</i>)	Per flight		0	Per flight		0
2.2 Local transportation	Per		0	Per		0
<i>Subtotal Travel</i>			0			0
3. Equipment and supplies (<i>Costs of purchase or rental. These costs may cover only premises rented especially for the subproject. The normal rental and service costs of participating bodies are administrative expenditure under Heading 8</i>)						
3.1. Purchase or rent of vehicles	Per		0	Per		0
3.2. Furniture, computer equipment			0			0
3.3. Spare parts/equipment for machines,			0			0
3.4. Other (please specify)			0			0
<i>Subtotal Equipment and supplies</i>			0			0
4. Local office/Sub project costs (<i>Specify, as lump sums will not be accepted</i>)						
4.1. Vehicle costs	Per		0	Per		0
4.2. Office rent	Per		0	Per		0
4.3. Consumables - office supplies	Per		0	Per		0
4.4. Other services (tel/fax, electricity/heating,	Per		0	Per		0
<i>Subtotal Local office/project costs</i>			0			0
5. Other costs, services (<i>Only indicate here when fully subcontracted</i>)						
5.1. Publications10			0			0
5.2. Studies, research10			0			0
5.3. Auditing costs			0			0
5.4. Evaluation costs			0			0
5.5. Translation, interpreters			0			0
5.6. Financial services (bank guarantee costs			0			0
5.7. Costs of conferences/seminars10			0			0

5.8. Visibility projects							
<i>Subtotal Other costs, services</i>				0			0
6. Other				0			0
<i>Subtotal Other</i>				0			0
7. Subtotal direct costs of the project (1-6)				0			0
8. Administrative costs (maximum X % of 7, total direct eligible costs of the project)							
9. Total eligible costs of the project (7+ 8)				0			0

Important Notes:

1. The budget always needs to indicate, in the column of 'Total costs', the specific amounts which the institution/consortium will contribute to the project.
2. Additional information that illustrates the contribution of the institution/consortium can also be added to the table in new rows and columns as necessary. Such additions must be clearly distinguishable for the original template rows and columns

Note:

Eligibility of costs: costs which may be taken into consideration for the grant

Only "eligible costs" can be taken into account for a grant. These are detailed below. The budget is therefore both a cost estimate and a ceiling for "eligible costs". Note that the eligible costs must be based on real costs, not lump sums (except for travel and subsistence costs and indirect costs).

Recommendations to award a grant are always subject to the condition that the checking process which precedes the signing of the contract does not reveal problems requiring changes to the budget. The checks may give rise to requests for clarification and may lead CCARDESA to impose reductions.

It is therefore in the applicant's interest to provide a realistic and cost-effective budget.

Eligible direct costs

To be eligible under the call for proposals, costs must:

- 1) be necessary for carrying out the project, be provided for in the contract annexed to the applicant response and comply with the principles of sound financial management, in particular value for money and cost-effectiveness;
- 2) have actually been incurred by the beneficiaries or their partners during the implementing period for the project as defined above, whatever the time of actual disbursement by the Beneficiary or a partner; this does not affect the eligibility of final audit costs;
- 3) be recorded in the Beneficiary's or the Beneficiary's partners' accounts or tax documents, be identifiable and verifiable, and be backed by originals of supporting documents.

Subject to those conditions and where relevant to the contract-award procedures being respected, eligible direct costs include:

- 1) the cost of additional contractual staff to be assigned to the project, corresponding to actual salaries plus social security charges and other remuneration-related costs; salaries and costs must not exceed those normally borne by the Beneficiary or his partners, as the case may be;
- 2) travel and subsistence costs for staff taking part in the project, provided they do not exceed those normally borne by the Beneficiary or his partners, as the case may be; any flat-rate reimbursement must not exceed the scales approved by the CCARDESA Board from time;

- 3) the cost of purchasing equipment (new or used) and services, provided they correspond to market rates;
- 4) the cost of consumables and supplies;
- 5) subcontracting expenditure;
- 6) costs arising directly from the requirements of the contract (dissemination of information, evaluation specific to the project, audit, translation, printing, insurance, etc.) including financial service costs (in particular the cost of transfers and financial guarantees).

Ineligible costs

The following costs are not eligible:

- 1) debts and provisions for losses or debts;
- 2) interest owed;
- 3) items already financed in another project;
- 4) purchases of land or buildings, except where necessary for the direct implementation of the project, in which case ownership must be transferred to the final beneficiaries at the end of the project;
- 5) currency exchange losses;
- 6) taxes, including VAT, unless the Beneficiary (or the Beneficiary's partners) cannot reclaim them and the applicable regulations authorise coverage of taxes.
- 7) Salaries and top-up allowances for full-time staff of the institution/consortium

Eligible indirect costs (overheads)

A lump sum not exceeding xx% of the direct eligible costs of the project may be claimed as indirect costs to cover the administrative overheads incurred by the Beneficiary for the project.

Indirect costs are eligible provided that they do not include costs assigned to another heading of the contract budget.

Indirect costs are ineligible if the Beneficiary receives in other respects an operating grant from CCARDESA.

Annex 7: Evaluation Grid Sheet

SECTION	MAXIMUM SCORE
1. Financial and operational capacity	20
1.1 Do the applicant and partners have sufficient experience of project management?	
1.2 Do the applicant and partners have sufficient technical expertise? (notably knowledge of the issues to be addressed.)	
1.3 Do the applicant and partners have sufficient management capacity? (including staff, equipment and ability to handle the budget for the Project)?	
1.4 Does the applicant have stable and sufficient sources of finance?	
2. Relevance	25
2.1 How relevant is the proposal to the objectives and one or more of the priorities of the call for proposals? <i>Note:</i> A score of 5 (very good) will only be allocated if the proposal specifically addresses at least one priority .	
2.2 How relevant to the particular needs and constraints of the target country/countries or region(s) is the proposal? (including avoidance of duplication and synergy with other EC initiatives.)	
2.3 How clearly defined and strategically chosen are those involved (intermediaries, final beneficiaries, target groups)?	
2.4 Have the needs of the target groups proposed and the final beneficiaries been clearly defined and does the proposal address them appropriately?	
2.5 Does the proposal contain specific elements of added value , such as innovative approaches, models for good practice, promotion of gender equality and equal opportunities, environmental protection?	
3. Methodology	30
3.1 Are the activities proposed appropriate, practical, and consistent with the objectives and expected results?	
3.2 How coherent is the overall design of the Project? (in particular, does it reflect the analysis of the problems into account external factors and anticipate an evaluation)	
3.3 Is the partners' level of involvement and participation in the Project satisfactory? Note: If there are no partners the score will be 1.	
3.4 Is the target groups' and final beneficiaries' level of involvement and participation in the Project satisfactory?	
3.5 Is the Project plan clear and feasible?	
3.6 Does the proposal contain objectively verifiable indicators for the outcome of the Project?	

4. Sustainability	15
4.1 Is the Project likely to have a tangible impact on its target groups?	
4.2 Is the proposal likely to have multiplier effects ? (including scope for replication and extension of the outcome of the Project and dissemination of information.)	
4.3 Are the expected results of the proposed Project sustainable : <i>- financially (how will the activities be financed after the CCARDESA funding ends?) - institutionally (will structures allowing the activities to continue be in place at the end of the Project? Will there be local "ownership" of the results of the Project?) - at policy level (where applicable) (what will be the structural impact of the Project — e.g. will it lead to improved legislation, codes of conduct, methods, etc?)?</i>	
5. Budget and cost-effectiveness	10
5.1 Is the ratio between the estimated costs and the expected results satisfactory?	
5.2 Is the proposed expenditure necessary for the implementation of the Project?	
Maximum total score	100

Please note the following important information:

Scoring: The evaluation criteria are divided into sections and subsections. Each subsection must be given a score between 1 and 5 in accordance with the following guidelines: 1 = very poor; 2 = poor; 3 = adequate; 4 = good; 5 = very good. The applications with the highest scores will be given priority when grants are awarded. *Note on Section 1. Financial and operational capacity:* If a total score lower than "adequate" (12 points) is obtained for section 1, the proposal will not be evaluated further. *Note on Section 2. Relevance:* If a total score lower than "good" (20 points) is obtained for section 2, the proposal will not be evaluated further.

ANNEX 8: FINANCIAL MANAGEMENT AND REPORTING GUIDELINES

Objectives

To ensure;

- 1 The sound financial stewardship of funds provided by CCARDESA to sub grantees;
- 2 Sub-grantees have established sound and adequate financial management and accounting systems to provide effective control and utilisation of funds disbursed by CCARDESA;
- 3 Procedures and guidelines for financial management and reporting are clearly documented and communicated to all sub-grantees prior to any initial funds being disbursed; and
- 4 CCARDESA has in place institutional and personnel arrangements to monitor and support sub-grantees to ensure effective financial management and reporting.

Policy statement

All responsible staff shall comply with the following general principles:

- 1 CCARDESA shall provide clear guidelines and orientation to the sub grantees with regard to financial management responsibilities.
- 2 CCARDESA shall monitor the financial performance of the sub grantees in accordance with the sub grant agreements.

Documents

Key documents include:

- Sub grant contract
- Approved project document
- Approved project budget
- Annual project work plan
- Advance withdrawal application
- Sub-grantee financial report

Procedures

Assessment of sub grantee financial management capacity

- 1 Sub grantees shall be assessed to establish that they have adequate financial management procedures and guidelines and that are acceptable to CCARDESA to mitigate any fiduciary risks.
- 2 The respective Programme Manager in conjunction with the Finance Unit and Internal Auditor of CCARDESA shall undertake an assessment of the capacities of the financial management of a prospective sub grantee before entering into a contract with the prospective sub grantee. CCARDESA will establish that the prospective sub grantee:
 - i. Can exercise their fiduciary responsibilities to mitigate any fiduciary risks;

- ii. Has documented financial management procedures that are acceptable to CCARDESA;
- iii. Has qualified and dedicated accounting staff to manage the sub-grant, and the capacity to produce periodic financial reports; and
- iv. Can allow CCARDESA and its auditors and /or development partners to review any records related to the CCARDESA sub-grant.

Financial management principles for specific sub-granting options

- 1 Under the Model 1 – Sub Agreements with all Participating Organisations:** CCARDESA shall transfer funds directly to each respective sub-grantee on the basis of each individual organisation's quarterly financial reports and forecast expenditure or financial plan submitted to and accepted by CCARDESA
- 2 Under the Model 2 – Sub Agreement with Lead Organisation;** CCARDESA shall transfer all project funds to the lead agency/organisation on the basis of their consolidated project quarterly financial reports and forecast expenditure submitted to and accepted by CCARDESA;

Advance request initiation process (first advance)

- 1 The **sub-grantee** shall submit the following documentation to the respective Programme Manager;
 - i. Banking Information , which identifying the designated bank account details and addresses for receipt of project advances in the form provided by the Finance Unit
 - ii. Official letter for notification of names and specimen signatures of authorised personnel accompanied by Financial and Technical proposals.
 - iii. Request for Advances, which identifies the sub-grantee's name and address details, type of request, amount requested, bank details, etc
 - iv. Individual sub grantee forecast expenditure statement (in case of contractual options 1) - where each individual sub-grantee produces a cash forecast for the subsequent quarter based on anticipated activities and operational costs, using
 - v. The lead sub grantee prepares a consolidated project forecast expenditure statement (in case of contractual option 2) – where the individual consortium members cash forecasts for the subsequent quarter activities and operational costs are consolidated into a single project cash forecast and submitted to CCARDESA
- 2 The respective **Programme Manager** will review the completeness of the documentation provided and forward them with recommendation to the Head of Finance for final review and approval.
- 3 The **Head of Finance** either approves or rejects the request for advances based on the submitted documentation. If the request is rejected due to incompleteness of documentation or missing any information that is required, the Head of Finance will communicate to the respective Programme Manager who in turn will communicate to the sub-grantee who submitted the request.
- 4 Where the initial request is approved by the Head of Finance the documents shall be passed to the Finance officer for preparation of funds transfer. All payments made to

sub-grantees follow the standard procedures set out in accordance to CCARDESA Finance manual.

Subsequent Advance Funds Request or Funds Withdrawal Applications

The **Sub grantee** shall submit the following reports and information to the respective **Programme Manager** to liquidate the previous quarter's advance and subsequent advance withdrawal requests:

- i. Sub-Grantee Quarterly Actual Expenditure Report for funds directly relating to the CCARDESA grant, using appropriate reporting Form
- ii. Bank statements (if separate bank account is maintained) and bank reconciliation statement as at the end of the reporting period, using appropriate form
- iii. Summary Fund Accountability Statement showing the source and application/use of funds including the total fund advances received from CCARDESA and earned interest, if any; using reporting form
- iv. Fixed Assets Register: showing the list of fixed assets valuing US\$ 500 and above purchased for the project with tag numbers for identification, location and custodian of the asset; using appropriate Form
- v. Official request letter for Advances - identifies the sub-grantee's name and address details, type of request, amount requested, bank details, etc;
- vi. Individual sub grantee forecast expenditure statement (in case of contractual options 1) - where each individual sub-grantee produces a cash forecast for the subsequent quarter based on anticipated activities and operational costs, using appropriate form
- vii. The lead sub grantee prepares a consolidated project forecast expenditure statement (in case of contractual option 2) – where the individual consortium members cash forecasts for the subsequent quarter activities and operational costs are consolidated into a single project cash forecast and submitted to CCARDESA

NB: Subsequent quarterly advances shall be paid if only **70%** and above of the previous advance is reported as actual expenditure.

Financial accountability and advance request approval processes

- 1 The respective **Programme Manager** shall check that the expenditure report for the previous advances, forecast expenditure for next quarter and technical progress reports are in line with the approved work plans and budgets, and either rejects the request or forwards them with a recommendation to the Head of Finance for final review and approval.
- 2 Where the Programme Manager initially rejects the expenditure report further clarification shall be sought from the submitting sub grantee. When clarification is provided and the Programme Manager is satisfied with the report he/she shall then submit it to the Head of Finance. Where clarification on expenditure does not satisfy the Programme Manager this shall be forwarded to the Head of Finance and the Deputy Executive Director for further action.
- 3 The **Head of Finance** either approves or rejects the request for advances based on the submitted documentation and availability of funds for the project. Where the request is rejected clarification shall be first sought from the Programme Manager on the issues identified.

- 4 Once the Head of Finance is satisfied with the reports and request submitted, the documents shall be forwarded for payment processing and shall follow the payment processing procedures outlined in this manual

Requests for funds disbursements

The request for disbursement of funds for project activities shall be made to the Head of Finance, through the Programmes Manager, using the letter format below:

[Date of the request for payment]

For the attention of

[address of CCARDESA]

[Financial unit indicated in the Contract]

Reference number of the grant Contract:

Title of the grant Contract:

Name and address of the Beneficiary:

Request for payment number:

Period covered by the request for payment:

Dear Sir/Madam,

I hereby request *[a pre-financing payment/a further pre-financing payment/payment of the balance]* under the Contract mentioned above.

The amount requested is *[as indicated in the Contract/the following:]*

Please find attached the following supporting documents:

- (i) signed Contract (for the first pre-financing payment)
- (ii) technical and financial interim report (for further pre-financing payments)
- (iii) final implementation report (for payment of the balance)

The amount certified by the audit report to be deducted from the sum total of pre-financing under the contract is the following: ...

The payment should be made to the following bank account:

Yours faithfully

Signature

Bank Account Maintenance Procedures

- 1 For sub-grant amount exceeding US\$ 50,000 and a project duration of two years and above, CCARDESA requires sub-grantees to open and maintain a separate bank account with a reputable commercial bank that will be acceptable to CCARDESA.
- 2 In exceptional cases where a sub-grantee is unable to open a separate bank account and officially requests, CCARDESA may exempt the sub-grantee from the above rule, in which case the sub-grantee shall be required to maintain a separate and traceable ledger account for the project.
- 3 For sub-grant amounts with a budget of below US\$ 50,000 and for project duration of less than one year, the sub-grantee may not be required to open a separate bank account, but shall be required to maintain a separate and traceable ledger account for the project.
- 4 Interest accruing from the sub-grant fund shall be declared and recorded in the financial report and shall only be used for the project with prior approval of CCARDESA.
- 5 The conversion rate by the recipient bank of the CCARDESA US Dollar (USD) transfer to local currency account of the sub-grantee shall be the **ruling exchange rate** for converting the local currency expenditure to USD for reporting to CCARDESA.
- 6 CCARDESA shall only accept reports from Sub grantees in the US dollars.
- 7 CCARDESA shall not accept exchange losses from the sub-grant funds.

Project Coordination Costs & Institutional Administrative Overhead Costs

- 1 Project co-ordination costs are payable on the basis of actual staff time, travel and operational costs provided to the Project.
- 2 The project coordination costs together with the institutional administrative overhead costs shall not exceed **15% of the total direct project costs**.

Financial Monitoring of Sub-Grantees

- 1 The **Financial Management Unit** shall receive requests from Programme Managers and undertake desk review of the following reports from sub-grantees:
 - (i) Quarterly fund accountability statement for the reporting period showing the source and application of funds;
 - (ii) Sub-grantee quarterly expenditure report showing the budget versus actual comparison and comments on variances;
 - (iii) Quarterly bank reconciliation statement and a copy of bank statements (if a separate bank account is maintained) as at the end of the reporting period;
 - (iv) An annual fund accountability statement.
- 2 The respective Programme Manager shall ensure receipt of quarterly and annual financial reports from sub-grantees not later than 20 days after end of the reporting quarter.

Records and Retention of Financial Documents:

- 1 Sub-grantee shall maintain adequate financial records, in accordance with generally accepted accounting practices to clearly and easily identify expenses of the Sub-Grant

Agreement, to describe the nature of each expense and to establish relatedness to the Sub-Grant Agreement.

- 2 All original financial records, books, documents and papers related to the project conducted under the Sub-Grant Agreement shall be available upon request at all reasonable times for inspection and audit by CCARDESA. Sub-grantee may also be required to submit original documentation to CCARDESA or any institution designated by CCARDESA for audit purposes.
- 3 All financial records and documents shall be retained and adequately stored for a period of at least **five (5) years** after the project completion date with the following qualifications:
 - (i) If any litigation, claim, negotiation, audit or other action involving the records has been started before the end of the 5 year period, the records shall be kept until all issues are resolved, or until the end of the regular 5-year period, whichever is the later.
 - (ii) The retention period starts from the date of submission of the final certified financial report by the Sub-Grantee.
- 4 Sub-grantee is expected to exhibit a sound financial data maintenance system and security policy.

On Site Reviews

- 1 The **Internal Audit or Finance Unit** shall undertake onsite reviews to assess sub-grantees financial management arrangements and accountabilities as deemed necessary and without any pre-condition.
- 2 The financial management arrangement reviews of sub-grantees shall specifically assess the adequacy of the following procedures and processes:
 - i. Finance and accounting manual
 - ii. Budget preparation, monitoring and evaluation
 - iii. Income/revenue management
 - iv. Cash and bank management
 - v. Payments (Cash, Cheque, Bank transfers)
 - vi. Procurement procedures
 - vii. Fixed asset management
 - viii. Advances and accountabilities
 - ix. Accounting and reporting
 - x. Filing and documentation
 - xi. Accounting information system capacity
 - xii. Internal audit function
 - xiii. External audit arrangements
- 3 The fund accountability and expenditure statement reviews of sub-grantees shall assess the accuracy and eligibility of expenditure reported, accuracy of the bank transaction activities and reconciliations as well as the compliance with the sub-grant contract terms.

Recommendations

- 1 Following the reviews undertaken by the Internal Audit Unit and the Finance Unit of CCARDESA a consolidated report on the recommendations for improvements or additions to the existing systems and processes of the sub-grantee shall be produced.
- 2 The report shall be submitted to the sub grantee, Head of Finance and the Executive Director.
- 3 This will be followed up by consultations between the Programme Manager/ Head of Unit and the grantee as to the actions that will be taken to resolve the issues identified.
- 4 The actions identified by the sub grantee shall be documented and passed to the internal auditor and the Finance Unit for information.
- 5 Where it is deemed that insufficient action is planned by the grantee in relation to the issues raised in the report, additional written communication shall be provided to the grantee to direct appropriate action.

Key control processes

- 1 CCARDESA shall assess the adequacy of the financial management systems of sub grantees prior to entering into a contract for funding.
- 2 CCARDESA financial policies and procedures for sub grantees shall be communicated and followed by sub grantees.
- 3 All fund disbursements to sub grantees shall be approved by the Head of Finance.
- 4 The Programme Managers shall review all financial reports from sub-grantees before submission to the Head of Finance for approval.
- 5 The Internal Auditor and Finance Unit shall conduct a review of financial reports and financial management systems of sub-grantees.

Annex 9: Consideration Of Environmental Impact Assessment And Communication Strategy Proposed

CCARDESA has the responsibility to the region and communities within which it operates, to support development and contribute to food production and innovation while ensuring that the environment and resource base of the region is not significantly compromised. It therefore recognizes and supports the efforts of SADC in fostering sustainable development and abiding by the environmental policies of SADC and various global organisations sharing a similar vision of minimizing impacts on the environments. Thus, CCARDESA has developed the Environmental and Social Management Framework (ESMF) to provide all its stakeholders with clear guidelines on what needs to be observed during implementation of CCARDESA-supported projects.

The ESMF provides the policies, guidelines, codes of practice and procedures for the management of environmental and social aspects of the projects. It also outlines the roles, responsibilities, reporting procedures for monitoring the social and environmental concerns of the projects and provides a guide for the building needs required for the effective management of CCARDESA projects. Reference to the ESFM document on the CCARDESA website is absolutely necessary in providing a clear and effective approach to dealing with the environmental and social aspects of the research project. The general question to be addressed is **“What are the potentially significant environmental impacts (both positive and negative) of the research and widespread dissemination and application of the project’s findings”?**

The environmental circumstances relating to the purpose of the proposed project will provide a guide in the development of the section on Environmental Impact Assessment of the project. The text of your response should provide your considered view of the answer to the question, and the justification for this response.

CCARDESA shall undertake periodic reviews to monitor compliance with the ESMF. The compliance levels and scores are as indicated in Table 1 below. Tables 2 and 3 show criteria for scoring both at organisational and individual project levels. The environmental screening form to be used in the project is in Table 4 while Table 5 provides a template to be used in integrated pest management.

Table 1: Compliance scores for ESFM

Compliance Level	Score
Completely Satisfactory	90
Highly Satisfactory	80
Satisfactory	70
Moderately Satisfactory	60
Moderately unsatisfactory	50
Unsatisfactory	40
Highly Unsatisfactory	30

Table 2: ESMF Compliance Weights at Organisational Level

Area	Weight	Criteria
Screening	10	No. of Sub-Projects Screened out of total no.
Categorising	5	No. of Sub-Projects Categorised
Assessment - EMP	15	No. of EMP approved
	10	No. of EMP in place-not approved
Assessment - IPMP	15	No. of IPMP approved
	10	No. of IPMP in place-not approved
Reporting	25	No. of reports with ESS content in line with EMP / IPMP
	10	No. of reports with general ESS content
	100	

Table 3: ESMF Compliance Weights for Individual Projects

a) Cat B-Both EMP & IPMP				b) Cat B-Only EMP or IPMP			
Area	Weight	Criteria	Rank	Area	Weight	Criteria	Rank
Screening	10	Screened	1	Screening	10	Screened	1
		Not Screened	0			Not Screened	0
Assessment - EMP	15	EMP approved	1	Assessment - EMP or IPMP	30	EMP approved	1
		EMP in place-not approved	0.5			EMP in place-not approved	0.5
		No EMP	0			No EMP	0
Assessment - IPMP	15	IPMP approved	1	Assessment - IPMP or EMP	0	IPMP approved	1
		IPMP in place-not approved	0.5			IPMP in place-not approved	0.5
		No IPMP	0			No IPMP	0
Budget allocation / Implementation	30	Budget allocated and followed	1	Budget allocation / Implementation	30	Budget allocated and followed	1
		Budget allocated, partly followed	0.5			Budget allocated, partly followed	0.5
		ESS activities not funded	0			ESS activities not funded	0
Monitoring and Reporting	30	Two reports a year with ESS content according to Monitoring Plan	1	Monitoring and Reporting	30	Two reports a year with ESS content according to Monitoring Plan	1
		Only one report with ESS content according to Monitoring Plan	0.5			Only one report with ESS content according to Monitoring Plan	0.5
		No report with ESS content	0			No report with ESS content	0
100				100			

Table 4: Environmental and Social Screening Form

The Environmental and Social Screening Form (ESSF) has been designed to ensure that proposed sub-projects are subjected to the appropriate extent and type of environmental assessment. Screening helps to determine which sub-projects are likely to have adverse environmental and or social impacts so that appropriate mitigation measures can be determined.

General Information	
Short Project Title:	
Applicable Country(ies)	
Name, department, job title, for the person who is responsible for filling out this form	
Provide baseline environmental information of the project area(s) where the sub-project	

is to be implemented	
Contact details (Telephone and email)	
Date	
Signature	
1. Project Description	
Please provide brief information on the type and scale of the sub project, sub project area, area of plants and buildings, status of water resources, involvement of GMOs, amount of waste (solid, liquid and air generation), location and lengths of channel networks, buried and or surface located pipes, etc. including construction work areas and access roads. (Complete on a separate sheet of paper if necessary).	

Table 5: Integrated Pest Management Plan (IPMP) Template

IPM is an ecosystem-based strategy focuses on pest management through a combination of techniques (biological, habitat manipulation, cultural practices, resistant varieties, etc.). Pesticides are used only if necessary and according to established guidelines. Treatments are made with the goal of removing only the target organism and selected and applied to minimises risk to human health, non-target organisms and the environment.

Short Project Title	
Project Countries with Specific Locations / Sites	
Project Contact Person in CCARDESA Secretariat	
Project Period	
Person responsible for IPM	
Job Title and Institution	
Contacts: email, phone	

1. Introduction:

1.1. Project: Give a brief description of the project

1.2. Location: Give a brief description of the sites and adjacent areas where pesticide application is being considered. Include:

- a. vegetation type, sensitive habitat, food plots
- b. wildlife and or livestock
- c. water sources - surface, drainage, wetlands, wells, groundwater
- d. human settlement

2. Methods: Name the crop(s) and or livestock and the target pest(s), including insects, diseases and weeds. For each key pest, determine the thresholds⁴, choose appropriate practices from each major category (Prevention, Avoidance, Monitoring, Suppression - Ref Appendix 1).

2.1. Non-Chemical: Identify the method (cultural, biological, mechanical / physical, etc.) to be used for each specified crop / livestock and the target pest (a table can be used here).

2.2. Pesticides: Explain the need for pesticide as opposed to non-chemical means. Identify the target pest and the pesticide (include the active ingredients) to be used for each specified crop / livestock. Indicate who will use the pesticides and the application method (a table can be used here).

3. Impact Identification and Mitigation: Identify key environmental and social impacts, assess level of significance and propose mitigation measures for the significant impacts regarding:

3.1. The social environment

3.2. The biophysical environment

3.3. Highlight any training provisions planned

(a table can be used here)

4. Monitoring plan: Indicate monitoring strategies to ensure effective implementation to prevent pest resistance and potential harmful effects on the social and biophysical environment.

Identified Significant Impact	Monitoring Indicator	Monitoring Location	Parameter to be Measured	Freq of Measurement	Responsibility	Est. Cost (USD)

⁴ Damaging level of that particular pest infestation at which point pesticide use is required

Annex 10: Projects Reporting Formats and Content Guidelines

These guidelines have been written to facilitate and standardize preparation of performance reports for CCARDESA funded projects. Reports using these guidelines will provide the GMU with the information needed to monitor progress and evaluate impact.

1. Although reports are to be submitted by the Principal Investigator (PI) and Network Leader they should reflect issues from all collaborating institutions and/or partners. Each report should be submitted by the due date according to the detailed work plan for the project, through the normal line management of the PI.
2. All reports will be reviewed by the Secretariat with assistance from experts in specific aspects of a project. Unpublished project results and data in progress will be treated confidentially. The Secretariat will use general descriptions of project accomplishments in various publications to highlight success in the CCARDESA projects. Thus information in the Final Report is not considered to be confidential unless the PI justifies why it should be.
3. New products or processes, which result from CCARDESA projects, will be disseminated after propriety rights have been established and commercial channels used (where applicable). Confidentiality of such information will be respected until patents are filed (where applicable).
4. Three types of reports are required:
 - Progress Report (mid-year) – This report should briefly highlight project activities, significant results, financial expenditure and implementation constraints (maximum length 3 pages). Due within 30 days after mid-year.
 - Annual Report – This is a more detailed description of progress during the year (maximum length 5 pages plus attachments). Due within 30 days after year end.
 - Final Report – This summarises all of the projects accomplishments (maximum length: 15-20 pages plus attachments). Due within 5 weeks of the completion date of the project.

Cover Sheet

5. All classes of report should have a cover page as indicated below. It is important to include all pertinent dates. For the Final Report, it is important to clearly specify the dates over which the project was conducted.

6. The format of this cover page and subsequent pages should be followed for all progress, annual and final reports. Forms may be obtained from the CCARDESA Secretariat, or may be typed using this format. The format is summarized in the following box.

Type of report:	Indicate whether a progress, annual or final report
Period Covered:	Indicate the half-year, year or full period of the project, according to the type of report being submitted.
Title of Project:	Use the same title as for the approved research project.
Contract Number:	Use the number provided by the CCARDESA Secretariat on the research grant.
Project Start Date:	Give actual date the research began.
Principal Investigator:	Give name.
Participating Institution:	Give name of the institution to which the Principal Investigator belongs.
Collaborating Institutions	List names
Collaborating Scientists	List names
(Principal Investigator)	Signed: _____

Annex 11: COMMUNICATION AND KNOWLEDGE SHARING

Outline the strategy for communication of the project's research findings both within the target area(s) of the project and to relevant audiences at national and international (and relating to the sub-region) levels.

This strategy should be built into the design of the project and should logically link with the information provided when identifying the project beneficiaries. It is recommended that one of the project's outputs defines the project's communication objective. In turn this will link with communication work at the activity level of the project and it will require a budget allocation.

Communication objective for the project's target area:
National level communication:
International level communication:
Date:Signature:.....

Map of SADC and mandate countries of CCARDESA

