West and Central African Council for Agricultural Research and Development/Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles

CORAF/WECARD Competitive Funding Operating Manual

How to Apply for Funding

Version 1.0

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ABBREVIATIONS

ACE	Accuracy, Cost and Ease
CAADP	Comprehensive Africa Agriculture Development Programme
CD-ROM	Compact Disc – Read Only Memory
CGIAR	Consultative Group for International Agricultural Research
CGS	Competitive Grant Scheme
CORAF/WECARD	Conseil Ouest et Centre Africain pour la Recherche et le Développement Agricoles/ West and Central African Council for Agricultural Research and Development
DP	Director of Programmes
ED	Executive Director
FAAP	Framework for African Agricultural Productivity
FARA	Forum for Agricultural Research in Africa
GA	General Assembly
GDP	General Domestic Product
IAR4D	Integrated Agricultural Research for Development
ICT	Information and Communication Technology
M&E	Monitoring and Evaluation
MDG	Millennium Development Goals
MOV	Means of Verification
NARI	National Agricultural Research Institute
NARS	National Agricultural Research System
NEPAD	New Partnership for Africa's Development
NGO	Non-government Organisation or Organisations
OP	Operational Plan
OVI	Objectively Verifiable Indicator
PCN	Project Concept Note
PCR	Project Completion Report
QQT	Quality, Quantity, Time
QQT-WW	Quality, Quantity, Time – Who and Where
REC	Regional Economic Community or Communities
RSOR	Result to Specific Objective Review
SO	Specific Objective
SP	Strategic Plan
SRO	Sub-regional Organisation
STC	Scientific and Technical Committee
WCA	West and Central Africa

GLOSSARY OF TERMS

Activity	The necessary and sufficient conditions to ensure delivery of Results. Activities utilise inputs and budgets identified in the Project to ensure delivery of Results, provided Assumptions hold.
Assumption	Conditions which are external to the project, over which the project has little or no direct control, and which it must monitor, and where possible manage. They provide the enabling environment for the delivery of the Results and represent the conditions required for the sustainability of the benefits accruing due to the delivery of the Specific Objective.
Beneficiaries	Those outside the immediate project area, who will benefit in time from the project *Results*.
General Objective	The greater *Why* of the project. The objective to which the project makes a significant contribution if it achieves its desired impact and/or change.
Innovation	**Innovation** refers to processes associated with the generation, distribution and use of new technical and organizational knowledge. It does not follow a linear path. It is characterised by continuous feedback between different elements.
Innovation Platform [IP]	The forum in which 2 or more actors engaged in developing innovative solutions to constraints exchange ideas and information to develop a successful solution. The core competencies made available by the IP are greater than the sum of the IP's constituents acting independently.
Innovation System	A network of organisations involved in the creation, diffusion and application of knowledge. The concept of the **innovation system** stresses that the flow of technology and information among people, enterprises and institutions is key to an innovative process. It contains the interaction between the actors who are needed in order to turn an idea into a process, product or service on the market.
Integrated Agricultural Research for Development [IAR4D]	Based on the concept of *innovation* and *innovation systems* **IAR4D** is a collective noun for new approaches to agricultural research. These are characterised by : • informal coalitions, collaborations, partnerships and alliances of public and private scientists, extension workers, representatives of farmers, farmers' associations, private firms and non-governmental organizations, and government policymakers [see *innovation platform*]; • communication, cooperation and interaction, often across sectoral and ministerial lines; • motivation through common belief that increasing agricultural productivity can help improve welfare of all.

National Agricultural Research System [NARS]	All the stakeholders and partners within national boundaries who play an active part in or have an influence on agricultural productivity through their role or position on an *innovation platform.* These may include public and private sector organisations, NGOs, farmer and other civil society organisations, government and national–based international organisations who are engaged to a greater or lesser extent in a broad spectrum of research and/or extension for development.
Result	The terms of reference or deliverables of the project, for which it is totally responsible. The consequence of successfully completing activities. The necessary and sufficient conditions to ensure achievement of the Specific Objective.
Specific Objective	The change and/or impact for which the project has been designed and implemented.
Target Group	Those directly involved in implementation of the project and who will directly and immediately benefit from delivery of the Results.

FOREWORD

CORAF/WECARD's implementation of the sub-regional competitive grant scheme is motivated by three factors: the need to encourage openness and diversification of scientific partnerships, the orientation towards demand driven research and regional priorities and the improvement of the quality of research activities.

Until the end of the 1990s, for historical reasons, CORAF/WECARD's main financial partners supporting its operations and research programmes were the European Commission and the French Cooperation. During this period, the choice of research themes was mainly driven by donors, and partnerships were mainly *North-South*.

Institutional reforms and the definition of priorities embarked upon by CORAF/WECARD, constituted a solid base for re-balancing partnerships in favour of the sub-region, the consideration of regional priority themes and the broadening of scientific and financial partnerships. The competitive grant scheme will contribute to this process through facilitating cooperation within the sub-region, addressing priorities and extending and nurturing partnerships.

The clear definition of structures and management procedures, the role of each stakeholder and institutionalisation of the principle of establishing contracts and evaluation and audit processes, will create transparency to encourage potential donors.

The funding mechanism for CORAF/WECARD operational units [networks, base-centres, research poles], which was in existence before the 2006 strategic planning process, supported relevant research themes considered as federative and of regional interest by the scientific community of the sub-region. It did not sufficiently take into account the demand of end-users. The competitive grant scheme will improve the relevance of research activities by introducing proposal evaluation criteria to guarantee demand from end-users and greater participation of stakeholders in delivering research results.

The approach of calling for proposals on a competitive basis will solicit more rigour in project development and more effort from applicants, in order to ensure scientific quality.

This Manual aims to provide guidance to those applying for funds, to enable them to understand the process and appreciate the principles underpinning the approach.

CHAPTER 1 INTRODUCTION AND SUMMARY

Introduction • Organisational Structure • Eligibility Criteria

Size of funds • Management of funds • Monitoring and reporting

Introduction

CORAF/WECARD has two mechanisms for supporting agricultural research for development within the sub-region. The first is through competitive funding and the second commissioned research.

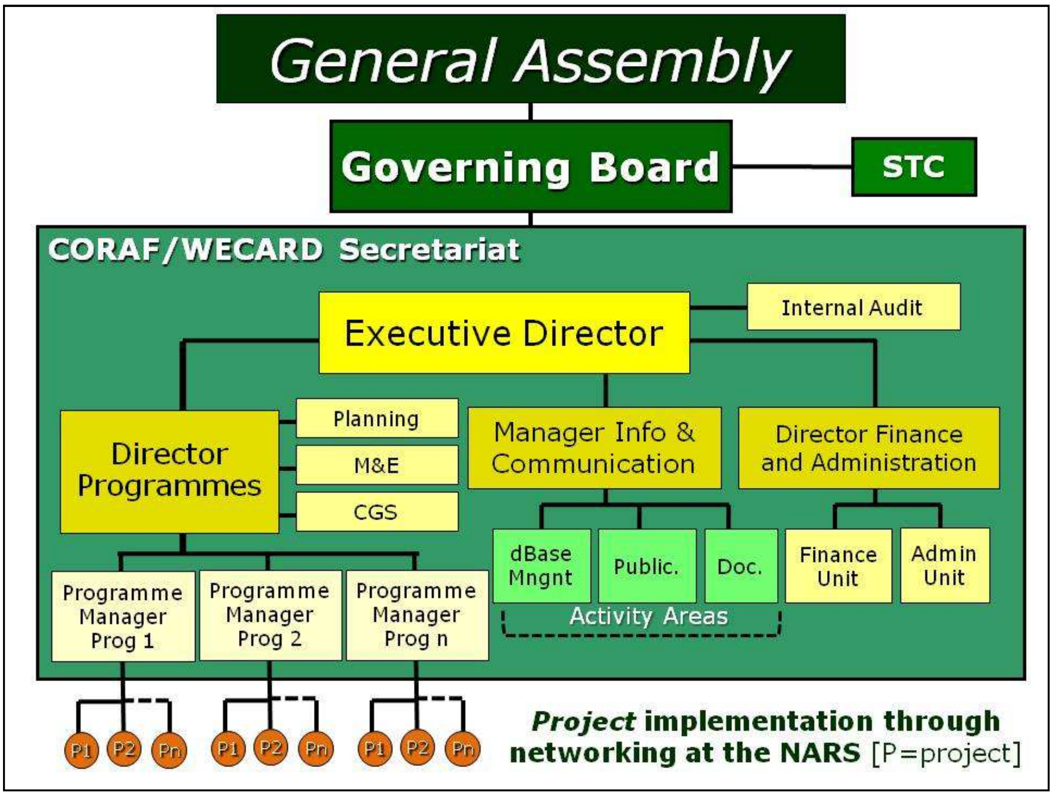
In the first case, broad research priorities are identified through a consultative and participatory process and a call for research responses is issued through a published invitation to stakeholders and partners. In the second case specific centres or partners are invited to submit proposals to address constraints or issues identified through a similar process.

This manual aims to guide respondents to competitive calls for proposals in support of CORAF/WECARD's Competitive Grant Scheme [CGS]. Broad principles and some of the specific detail also apply to commissioned research proposals.

Organisational Structure

Figure 1 shows the current organisational structure of CORAF/WECARD and its Secretariat. Broadly speaking the Governing Board and STC are responsible for oversight of the CGS, the Secretariat is responsible for its management and CORAF/WECARD members from the NARS are responsible for implementation.

Figure 1 CORAF/WECARD Organisational Structure



Eligibility Criteria

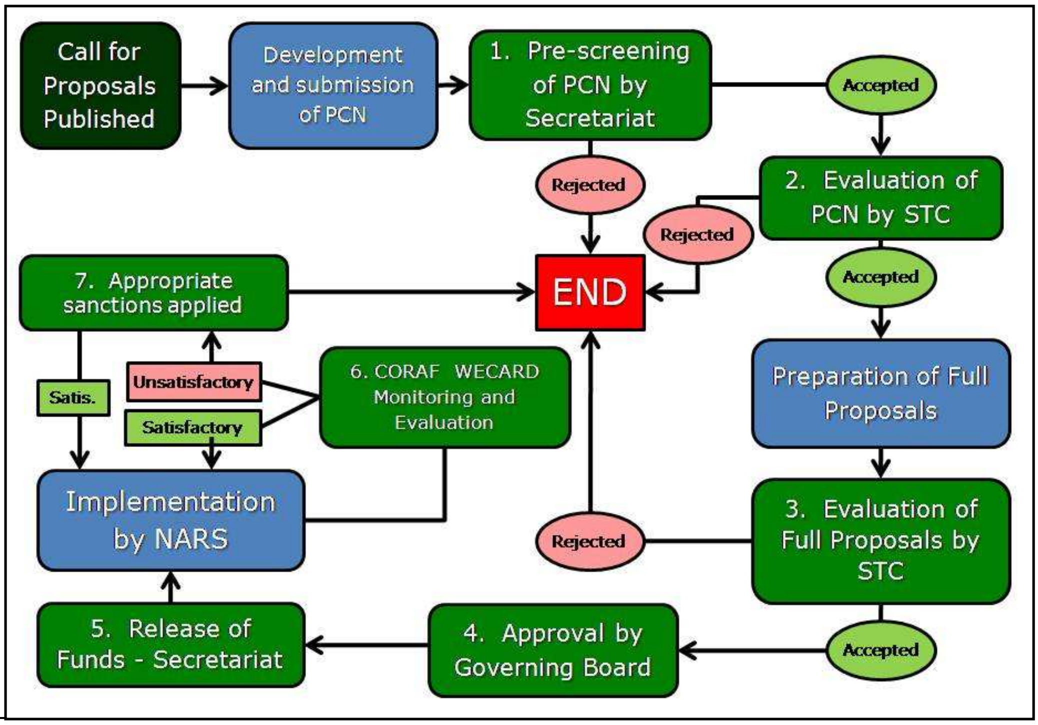
Concept Notes and Proposals submitted to CORAF/WECARD for funding must address the needs of the different agro-ecological zones[1] in the member countries in West and Central Africa and must be presented by at least **three** organisations based in three different member countries; individual presentation by a single organisation or country is **not** allowed.

Any of CORAF/WECARD's stakeholders may combine in an application including:

- Regional Economic communities [RECs];
- Members of National Agricultural Research Systems[2] [NARS];
- Governments of member countries;
- Forum for Agricultural Research in Africa [FARA];
- Donors or development partners;
- Regional and International organisations operating in the CORAF/WECARD zone [IARC, CGIAR centres, notably];
- Private Sector organisations within and outside the CORAF/WECARD sub-region.

Calls for Research Proposals [referred to as **Calls**] are launched by the Executive Secretariat twice a year, normally during October and April. Calls may exceptionally be launched outside these two months. They are published on the CORAF/WECARD Website and in other media. The process is summarised in Figure 2 and explained in detail throughout this manual.

Figure 2 Outline of Process for Competitive Grant Funding



[1] Coastal Zone of West Africa, Sahelian Zone of West Africa and Central African Zone

[2] A *NARS member* is defined as any organisation at the national level engaged in agricultural value chains linked to research – See *Glossary* page 7

Structure of Proposals

Project Concept Notes and Proposals are structured according to the guidelines published in this manual, incorporating any specific detail or characteristics mentioned in the Calls. This is done to ensure a coherent approach and to encourage best practice amongst participating organisations.

Size of Funds and Management

The size of funds available for proposals depends on the nature and scale of the Call, and will be clearly stated in that document. As a general rule CORAF/WECARD encourages fewer large projects rather than a large number of smaller initiatives.

Monitoring and Reporting Systems

Monitoring and reporting systems are also defined in this manual and are mandatory requirements of the CGS.

The funds that the Secretariat is managing through the CGS belong to CORAF/WECARD as a membership organisation, and it is the Secretariat's responsibility to ensure that best and most effective use is made of them. The Executive Director reports to the Governing Board, which is answerable to the General Assembly [see Figure 1].

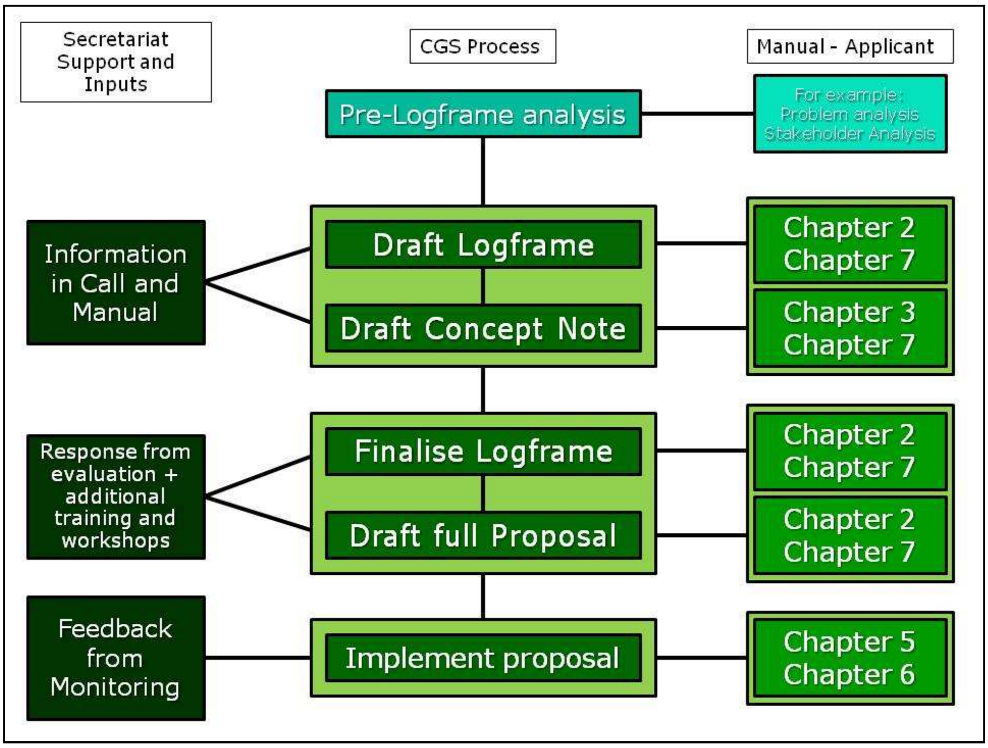
How to use this Manual

This Manual is divided into eight Chapters, each of which covers a key aspect of the CGS.

- **Chapter 1 –** gives a broad overview of the CGS.
- **Chapter 2** – provides guidelines on preparing a logframe. This should be used to prepare the logical framework [logframe] for the Concept Note, and later to modify and finalise the logframe for the successful proposal.
- **Chapter 3** – provides instructions and guidance on completing the Concept Note *pro forma*.
- **Chapter 4** - provides instructions and guidance for the completion of Project Proposals in the CORAF/WECARD *pro forma*.
- **Chapter 5 -** outlines reporting requirements and formats and introduces basic standardised report formats aimed at minimising the time taken to report progress.
- **Chapter 6** – explains financial management and reporting systems.
- **Chapter 7** - outlines key cross-cutting and core functions, which need to be taken into account when completing Concept Notes [Chapter 3] and Proposals [Chapter 4].
- **Chapter 8** – explains the process used to evaluate Concept Notes and proposals submitted for funding. This should be read by applicants so that they can appreciate the way in which submissions will be judged.

The support of the Executive Secretariat and use of the Manual are summarised in Figure 3.

Figure 3 Role of Manual in CGS Process



CHAPTER 2 GUIDELINES FOR PREPARATION OF A LOGICAL FRAMEWORK

Introduction • Definitions • Format • Core Principles • Process of Development

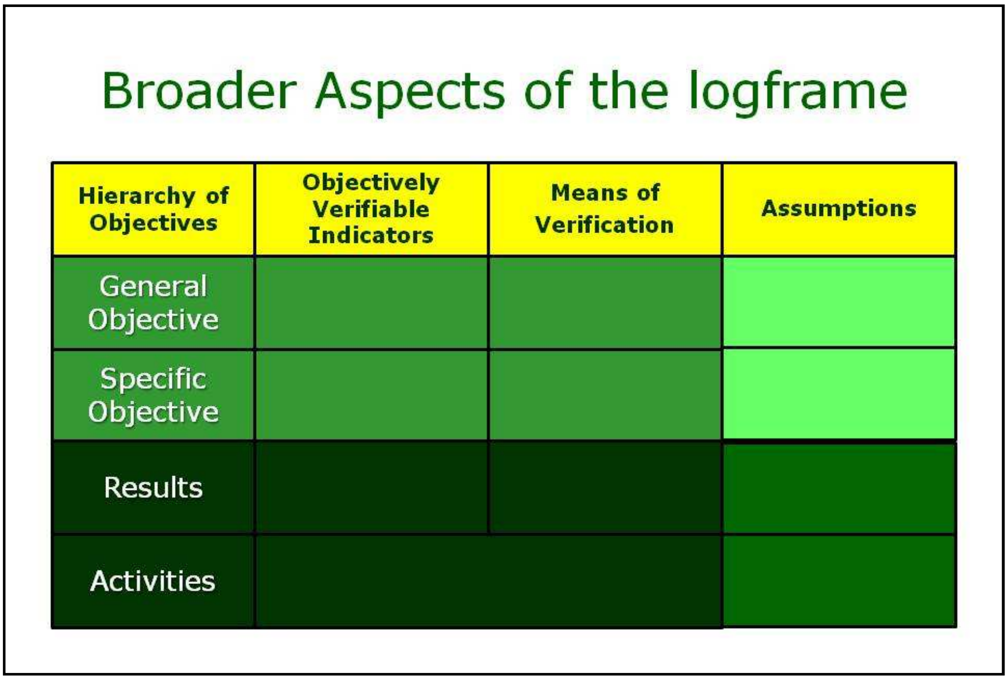
Introduction and Overview

The logical framework [logframe] is a management tool that aims to promote good project[3] design by clearly stating and summarising project components and their logical connections.

A well constructed logframe takes time to develop but makes the task of developing Project Concept Notes and Proposals easier and quicker. It should always be the **first** step in developing project documentation. It is a **pre-condition** for CORAF/WECARD-funded activities. **Before** completing a PCN or Proposal, draft a logframe according to the following guidelines.

The logical framework consists of a 4 x 4 matrix or table, with a vertical hierarchy of objectives as shown in Figure 4. An example of a completed logframe for a hypothetical project is shown at Annex 1, page 77.

Figure 4 Log frame matrix



The components of the matrix are:

- The ***General Objective,*** which is the higher level objective or longer-term impact of the project on sub-regional or wider objectives to which the project **contributes**;

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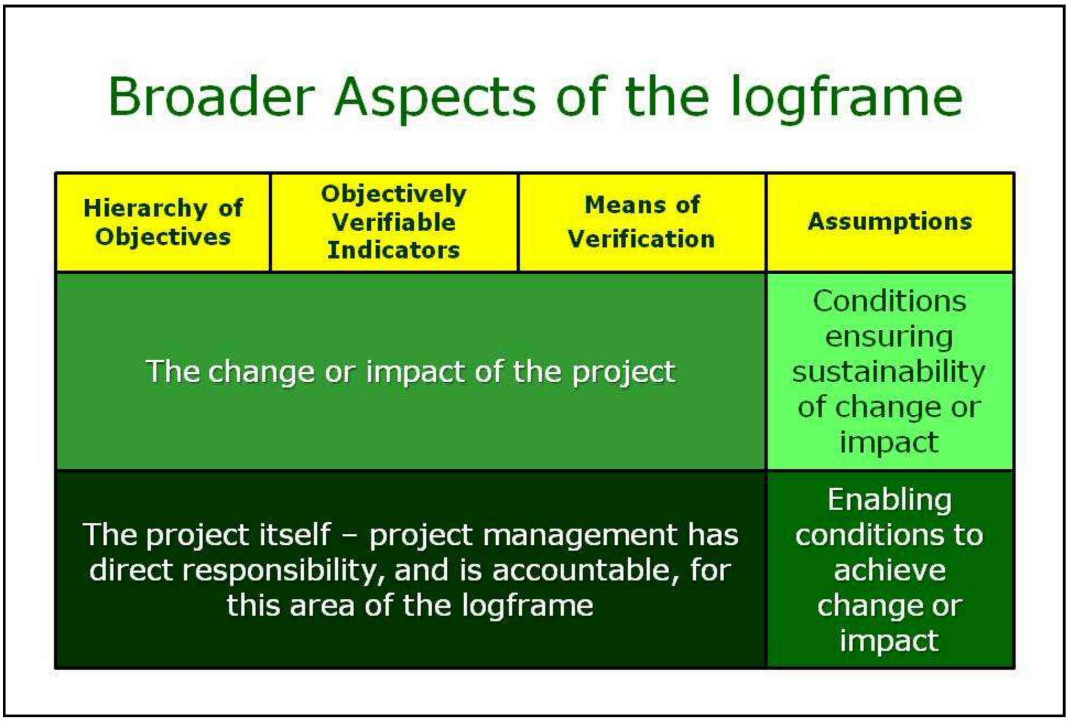
[3] Logframes can be used to plan activities at project, programme or organisational levels, but will be referred to in the context of projects in this summary of principles.

- The ***Specific Objective*** is the measurable near-term impact of the project, which is what it is designed to achieve;
- ***Results*** are the products that the project can guarantee to deliver. They may also be considered the terms of reference for the project;
- ***Activities*** are the key *Activities* undertaken by the project team that summarise the action required to deliver the *Results*;
- ***Objectively Verifiable Indicators*** [OVI] are measurements to verify to what extent the components at each level are achieved, targeted in terms of quantity, quality and time;
- The ***Means of Verification*** [MOV] are the sources of data necessary to verify the indicators at each objective level;
- The ***Assumptions*** are important events, conditions and decisions outside the control of the project that are necessary and sufficient for success.

A logframe should always be considered in its totality, as a whole. All the elements in a logframe are important and inter-linked.

This is illustrated in Figure 5, which shows how the *Activities*, *Budgets and Inputs*, *Results* and their *Indicators* can be considered as representing the project, and what it is directly responsible for. The *Assumptions* at the level of the *Activities* and *Results* represent the *enabling environment*, which needs to exist in order for the project to deliver what it should. The *Specific* and *General Objectives* identify the change or impact that is expected, and the *Assumptions* at this level define the conditions which are necessary and sufficient [see below] for the impact and change to be sustainable.

Figure 5 Broader aspects of the logframe



It is important that logframes are developed in a participatory way with stakeholders to ensure ownership and understanding. The *handing down* of logframes should be avoided. As a precursor to this preparation, it is often necessary to complete stakeholder and problem analysis.

Draft logframes should be the first stage of Concept Note development, and must be finalised before full project documentation.

The two Core Principles of Logframes

There are two key principles which underpin the logframe as a tool and these are:

- The *Principle of Cause and Effect*
- The *Principle of Necessary and Sufficient*

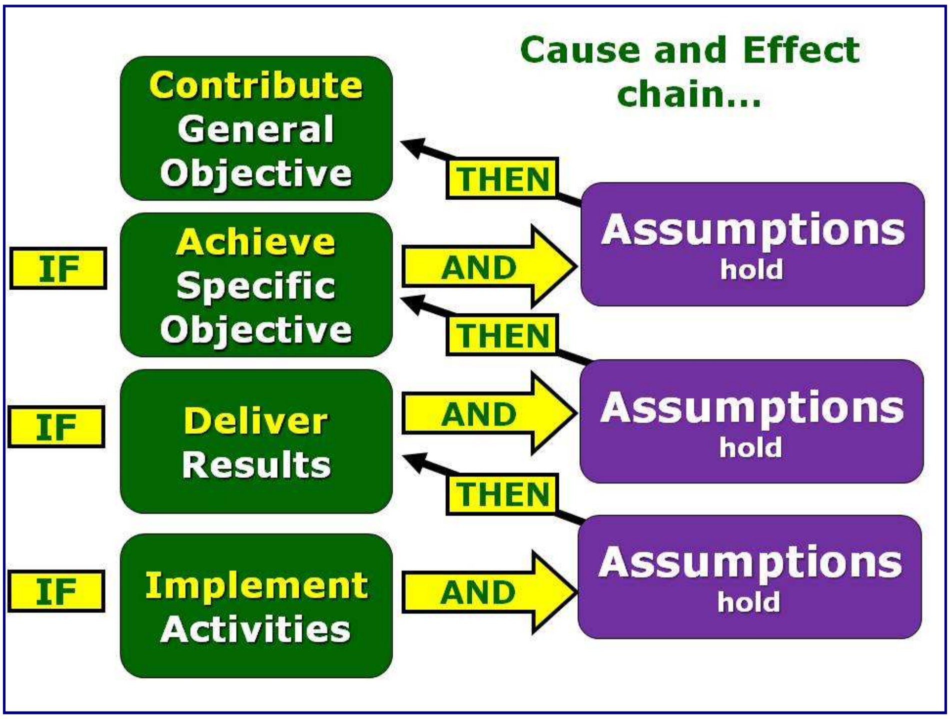
These should be remembered and addressed at all stages in the development of a logframe and project proposal.

Principle of Cause and Effect

The *Principle of Cause and Effect* links the components of a logframe in a logical chain, which gives the tool its name. This chain of steps may be summarised as **IF – AND – THEN.** The sequence of steps is shown diagrammatically in Figure 6.

- **IF *Activities* are implemented AND *Assumptions* hold THEN *Results* will be delivered;**
- **IF *Results* are delivered AND *Assumptions* hold THEN the *Specific Objective* will be achieved;**
- **IF *the specific Objective* is achieved AND *Assumptions* hold THEN the project will make a significant contribution to the *General Objective*.**

Figure 6 Cause and Effect Chain



The use and understanding of this principle are key to the development of a logframe. They ensure coherence in planning and implementation and form a strong basis for monitoring and evaluation through carefully constructed indicators.

It is important when developing the narrative statements that the gap between logical steps is not too great. This issue and others are dealt with in more detail in the section *Constructing the Narrative Statements* [page 19].

Principle of Necessary and Sufficient

The *Principle of Necessary and Sufficient* is built around two parts.

- *Part 1* - For something to happen, certain conditions are *necessary*.
- *Part 2* – When all the *necessary* conditions are in place, together they will be *sufficient* for that event to occur.

This can more easily be illustrated by an example, which is shown in Box 1. It is a principle which underpins **all** aspects of the logframe.

Box 1 Example of Necessary and Sufficient

The task is to make *boiled rice*. There is a large list of possible items and elements that could be used including:

• Rice	• Salt	• Cook	• Saffron	• Pan
• Water	• Spoon	• Meat	• Oil	• Heat

Although all of these ingredients *could* be used in the cooking of boiled rice and might make it taste better or easier to cook, they are not all *necessary* to complete the task. If the unnecessary items are deleted we are left with those which are **necessary**:

• **Rice**	~~Salt~~	• **Cook**	~~Saffron~~	• **Pan**
• **Water**	~~Spoon~~	~~Meat~~	~~Oil~~	• **Heat**

Each of these items is necessary **because** we cannot make boiled rice if there is no rice, or we have no water, nor is it possible without a pan or heat, or even a cook. All are **necessary** but only **together** will they be **sufficient** to complete the task of delivering boiled rice.

It is a test that must be applied to all parts of a logframe to ensure that it supports a clear and properly constructed concept note or project document.

Application of the principle helps to remove padding and superfluous or irrelevant elements, and brings a tighter focus to the proposal. It serves to highlight important issues and removes or greatly reduces the possibility of wasted effort. It helps to maximise the use of often scarce resources by focussing on only those elements which are truly necessary for success.

In the context of the logframe elements:

- All the *Inputs* and the *Budget* are necessary, and together they are sufficient, for the implementation of the *Activities*;
- All the *Activities* are necessary, and together they are sufficient, for the delivery of the *Results*;

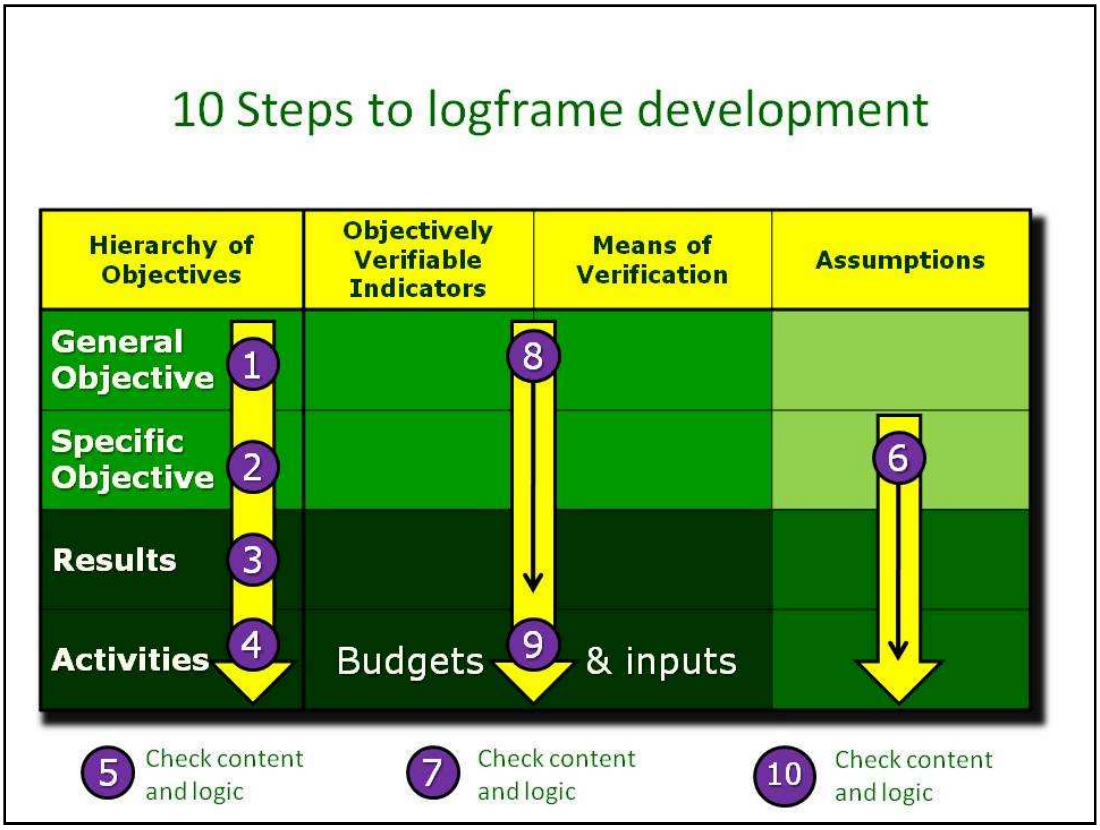
- All the *Assumptions* at *Activity* to *Result* are necessary to provide the enabling environment for the delivery of the *Results,* and together they will be sufficient for that delivery;
- All the *Results* are necessary for the achievement of the *Specific Objective*, and together they will be sufficient for this to occur;
- All the *Assumptions* at *Result* to *Specific Objective* are necessary to provide the enabling environment for the achievement of the *Specific Objective,* and together they will be sufficient for that achievement;
- The *Specific Objective* is necessary and sufficient for the project to make a contribution to the *General Objective*, and together the *Assumptions* at this level are necessary and sufficient to ensure the sustainability of the impact and change.
- At all levels the indicators and their means of verification are necessary and sufficient to demonstrate the appropriate levels of success.

10 Steps to Logframe Development

Overview and Dangers

It is usual to start at the top of the hierarchy of objectives, at the *General Objective*, and work downwards. The process may be broken down into 10 Steps but it is iterative and at each step, it is necessary to re-visit previous stages to ensure that the logical flow has been maintained. The process is summarised in Figure 7, where the numbers refer to the steps indicated below.

Figure 7 10 Steps to logframe development – the Process



In constructing the narrative statements[4] it is vitally important to avoid **Embedded Statements** [see Box 2 for further explanation], **Re-statements** of a single idea or activity in slightly different ways [see Box 3 for further explanation] and **Logical Leaps** [see Box 4].

Embedded statements include at least one *cause and effect chain* and are most commonly found at *General* and *Specific Objective* levels, although they can also occur in *Result* statements. It is a common error leading to much confusion, illustrated in Box 2.

Restatements most commonly occur between *Activity* and *Result* statements and between *Results* and *Indicators*. It is often caused by failure to identify cause and effect relationships[5]. They are also seen as indicators at the level of the *Specific* Objective [see page 35]. This is illustrated in Box 3.

Logical Leaps occur if there is too large a gap in the logical steps between different levels in the hierarchy. This most commonly occurs between *Result* to *Specific Objective*, and *Specific Objective* to *General Objective*. A logical leap occurs when the number of assumptions that needs to be made is very large, and the connection between statements is extremely tenuous. This is illustrated by an example in Box 4.

Remember and avoid these three important traps when developing the narrative statements of the logframe:

- Embedded statements
- Restatements
- Logical leaps

Box 2 Examples of *Embedded Statements*

Embedded statements are created by the use of linking words that create a cause and effect chain. Words such as:

- ...by...
- ...through...
- ...as a result of...

An example of an embedded statement would be:

*Agricultural growth increased **through** improved livestock productivity*

What this statement is saying is that **IF** *livestock productivity is improved* **THEN** *agricultural growth will be increased*.

Another way of looking at this is that *increased agricultural growth* might be a *General Objective* to which *improved livestock productivity* [*Specific Objective*] is contributing.

Statements which are embedded make it difficult for a project to identify what it is actually trying to deliver, achieve or make a contribution towards.

[4] *General Objective, Specific Objective* and *Results*

[5] IF something is done THEN something happens as a consequence

Box 3 Example of *Re-statements*

The issue of **restatement** is most easily explained by example.

- In a project which is trying to identify constraints to livestock production so that solutions can be developed to increase productivity and reduce poverty, there are a series of activities and outputs leading to the increased productivity.
  - *Activity* = Survey of pastoralists to identify key constraints
  - *Result* = Pastoralist survey completed
  - *Indicator* = Survey report published
- All these statements are restating information about the survey. This would, however, be only one activity associated with delivery of a *Result*. IF a survey was completed THEN a suitable *Result* that might be delivered would be *Appropriate technologies for reducing morbidity and mortality of small ruminants identified.* Of course this would require other related activities such as forming a group to discuss the survey's finding, establishment of an innovation platform to make best use of the findings and so on.
- A suitable *Indicator* for the *Result* might then be something that you might expect to see IF morbidity and mortality of small ruminants was reduced, such as a percentage increase in sales of surplus stock over baseline levels before the intervention.

Occasionally, restatement may mean that there is little difference between a single *Result* statement and a *Specific Objective*. For example, a *Result* may be about the *promotion of appropriate technologies to reduce mortality and morbidity of small ruminants*, and a *Specific Objective* may state *Life expectancy of small ruminant herds increased.*

Box 4 Logical Leaps

Logical leaps generally result from over-ambitious planning and high levels of expectation. They create problems because it becomes difficult to attribute success to the project. This is demonstrated in the following, exaggerated, example:

- In a small maize breeding programme, new varieties are to be developed in village-level participatory trials. The project logframe contains the following statements:
  - *Result*: Appropriate maize varieties developed
  - *Specific Objective*: Sub-regional maize production increased
  - *General Objective*: Poverty in Sub-Saharan Africa reduced

Whilst none of these statements is outside the *cause-effect* principle, the gap between *successfully developing suitable maize varieties at village level* and achieving *increased maize production across the sub-region* as a consequence is huge. Many other factors will be involved and it is not an impact that the project can hope to achieve on its own. Similarly, even if it could be demonstrated that the project alone was responsible for achieving increases in sub-regional maize production, the leap between that and reducing poverty in SSA is also huge. Again, many other factors are at play and the contribution that the project will make is not measurable.

Step 1 Define the overall *General Objective*

This is the overall rationale for the project, the *Greater Why* or reason for the project. One way of identifying it is to ask: *What is the overall problem the project is trying to solve?*

The *General Objective* should be defined as an **endpoint**. The convention is to place the verb at the end of the statement, in the past tense, to indicate that it is an endpoint and not an ongoing process. For example:

- Agricultural growth in Sahelian agro-ecological zones of WCA increased
- **NOT** To increase the agricultural growth in Sahelian agro-ecological zones of WCA

It is something that the project will **contribute** towards, provided certain *Assumptions* hold. Several projects, programmes or organisations may share the same *General Objective*.

It should be set at the correct level, and be something that the impact of the project will reasonably be expected to contribute towards. It is often tempting to be over-ambitious at this level in the logframe, and this should be avoided.

Step 2 Define the *Specific Objective*

Why is the project being done? This can be thought of in terms of the desired impact or change, which it is hoped to achieve by delivering project *Results*. The project should only have **one** clearly stated *Specific Objective.* It is important not to restate the *Results* as the *Specific Objective.* The *Specific Objective* is both necessary and sufficient for the project to make a contribution to the *General Objective*.

The *Specific Objective* is also worded as an endpoint with the verb at the end of the statement. For example:

- Agricultural productivity of livestock farmers in the Sahelian agro-ecological zone improved
- **NOT** To improve the productivity of livestock farmers in the Sahelian agro-ecological zone

The achievement of the *Specific* Objective is just outside the management responsibility of the project, since it depends on the *Assumptions* at this level holding. Everything possible should be done to ensure the impact by monitoring and responding to the *Assumptions* [see page 23].

Step 3 Define the Results

What is the project to **deliver**? Delivery of the *Results* is the responsibility of the Project; it is what it will be held accountable for.

The *Results* may be seen as the ***Terms of Reference*** for the project, they define what the project has been designed to deliver or produce, so that it will achieve the impact or change that it wants.

Each of the *Results* must be necessary to achieve the *Specific Objective*, and together they must be sufficient for this to happen. In terms of cause and effect, if the *Results* are delivered, and certain *Assumptions* hold, then the impact or change that the project is designed for [*Specific Objective*] will be achieved.

As a general rule of thumb a project should have between 2 and 5 *Results*.

The *Results* should be clearly stated as end points, and not processes. The delivery of the *Results* must be easily verifiable, which means it must be possible to measure delivery so that stakeholders can measure the success of the project.

The convention in logframes is to place the verb, in the past tense[6], and at the end of the statement, for example:

- Appropriate vaccines for reducing mortality and morbidity of small ruminants promoted
- **NOT** To promote appropriate vaccines for reducing mortality and morbidity of small ruminants

It is important not to restate *Activities* as *Results*, [see Box 3, page 21].

Step 4 Define the Activities

How will the project be implemented? *Activities* are the actions needed to deliver the *Results*, and are the responsibility of the project implementation team. *Activities* utilise the *Budgets and Inputs* in order to deliver the *Results*.

Each *Result* should have an *Activity* or group of *Activities* associated with it, which demonstrate how each result will be delivered.

As a general rule *Activities* fall into three broad categories:

- Identification of the problem or issues or task – *Diagnosis;*
- The development of an appropriate intervention or solution – *Development;*
- The packaging of the intervention in such a way that there is uptake, and spread of the intervention - *Promotion;*

Thinking in these terms helps to identify the *Activities*. Detail is not required in the logframe as this will come in the full documentation. It must, however, be clear just how it is intended to deliver each of the *Results*.

Step 5 Verify the content and vertical logic

At this stage in the process it is useful to check the quality and logic of the steps in the hierarchy to ensure that there are no embedded statements [see Box 2], restatements [see Box 3] or logical leaps [see Box 4].

Use the **IF** [ ] **AND** [ ] **THEN** [ ] logic path [see Figure 6] to check links between the different levels. Another way of doing this is to ask the question ***how*** in moving down the hierarchy, and the question ***why*** in moving upwards.

The if/then relationship between the *Specific Objective* and *General Objective* should be logical and not omit important steps. The vertical logic among *Activity*, *Result*, *Specific Objective*, and *General Objective* should be realistic.

Do the statements satisfy the principle of *necessary and sufficient* [see Box 1]?

Step 6 Define the important *Assumptions*

These should be defined at the following levels:

- *Specific Objective to General Objective* – equivalent to the conditions needed for sustainability of benefits.

[6] This may include such verbs as: ...established, ...generated, ...developed, ...identified, ...released, ...promoted etc

- *Result to Specific Objective* – equivalent to the conditions which create the enabling environment to achieve the change or impact for which the project is designed.
- *Activity to Result* – equivalent to the conditions which create the enabling environment for the delivery of the *Results*.

Important *Assumptions* are **external conditions or factors** over which the project chooses not to exert control or over which it has no or little control. They determine the success of the project.

Assumptions must satisfy the principle of being necessary and sufficient.

Note that Risks are negative *Assumptions*. For example:

- An Assumption may be that Appropriate levels of political support exist;
- And the Risk is that Appropriate levels of political support do **not** exist;

It is **NOT** necessary to include Risks in the logframe.

When determining the key *Assumptions*, it is important to remember that:

- At the level of *Activity* to *Result*, the starting point is that IF all the *Activities* have been successfully completed what *Assumptions* need to be made to ensure the *Results* are delivered?
- At *Result* to *Specific Objective,* **IF** the *Results* have been successfully delivered, what *Assumptions* have to be made to achieve the *Specific Objective*?
- At *Specific Objective* to *General Objective*, **IF** the *Specific Objective* has been achieved, what *Assumptions* need to be made for the Project to make a significant contribution to the *General Objective?*
- The *Specific Objective* to *General Objective* Assumptions should describe the necessary and sufficient conditions [environment] for the project to make a significant contribution to the *General Objective*. Similarly those at *Result* to *Specific Objective,* identify conditions for achieving the *Specific Objective* and at *Activity* to *Result*, conditions required to deliver the *Results.*

As with other aspects of the logframe, the application of the *necessary and sufficient principle* is extremely important. There are many *Assumptions* that could be made but only those that are necessary for success should be included, and together they should be sufficient to ensure success.

Another important consideration is the level in the logframe at which *Assumptions* appear. If this is not done correctly then there may be an unexpected failure. *Assumptions* should be at the **lowest** level in the logframe where they will have an influence; this is illustrated in Box 5.

Another factor which needs to be considered with *Assumptions* is that they may have different meanings at different levels within the logframe. It is not uncommon to see similar or identically worded *Assumptions* repeated at different levels. This is acceptable provided an explanation is given elsewhere in the documentation. An example of this is illustrated in Box 6.

Box 5 Placement of *Assumptions* at correct level

It is important that any *Assumption* made is at the correct level; it needs to be at the **lowest** level where it will have an influence. For example:

- If an *Assumption* is made that *...the IAR4D approach to research will produce appropriate results...* this needs to be made at the lowest level where its failure will have an influence.
- This is at the *Activity* to *Result* level, since failure of the IAR4D approach to work effectively will mean that *Result[s]* cannot be delivered.
- There is no point in placing it higher, since if it fails, no Results will be delivered, and so there will be no impact or change as a consequence.

Box 6 Repeated *Assumptions*

It is not uncommon to see *Assumptions* repeated at different levels within a logframe. This is because the scale and scope of an *Assumption* varies with the level within the logframe that it appears. For example:

- A common *Assumption* that needs to be made is about the health of stakeholders ...*HIV/AIDS, malaria and TB do not adversely affect benefits*
- At *Activity* to *Result* this may be about the ability or capacity of communities or target groups to respond adequately to opportunities, due to poor health or an inappropriate demographic structure.
- At *Specific Objective* to *General Objective* it may be more an issue of resource allocation by local or national governments to non-agricultural sectors in order to address health-related problems, leaving agricultural infrastructure [for example] poorly funded.

These differences in issues of scale and scope can be reflected in the wording of *Assumptions*, but it needs to be remembered that the logframe is a concise and shorthand version of the project document and needs to be kept brief.

A characteristic of *Assumptions* is that they are not simply true or false, there are degrees of compliance. For example a common *Assumption* is that ...*economic and political support exists for agricultural development...* It is extremely unlikely that this will ever be perfect; however it only needs to exist at a level which permits the delivery of *Results* or the achievement of a *Specific Objective*, so again it is a case of scale and scope. This is explored further in Box 7.

Once the important *Assumptions* have been identified, a useful, qualitative tool, which can be used to assess their relative significance, is the **Risk Matrix**. This is based on assessing both the **importance** the *Assumption* has for success and the **probability of it failing** to hold, or put another way, the risk of it failing. This is a subjective assessment but it provides useful guidance for decision-making. The Matrix is shown in Figure 8.

Box 7 *Assumptions* – degree of compliance

It is common for *Assumptions* to appear extremely demanding in terms of their compliance; however compliance is a question of scale or degree. For example, rather than stating...

Economic and political support exist for agricultural development

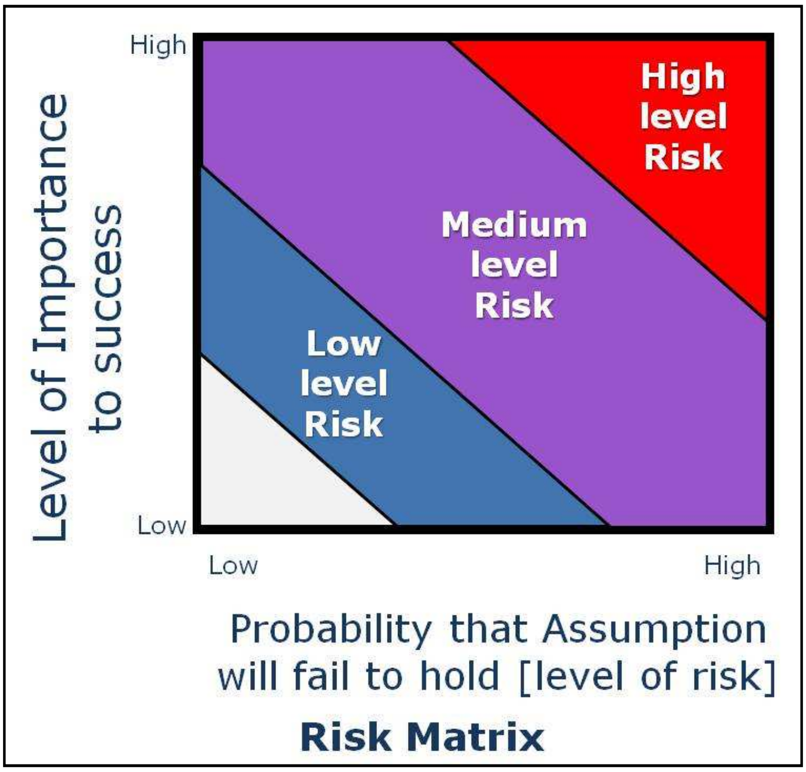
...it is better to rephrase this to indicate that the project doesn't require *perfect* support but just sufficient to enable it to do what is required, such as ...

Economic and political support are maintained at levels appropriate for agricultural development

The key words here in this re-phrasing are *appropriate* and *maintained*. The same principle can be applied to several types and categories of *Assumptions.*

To use the matrix assign a score to each *Assumption* on a scale of 1-10 where 1 is low importance [or probability of failure/risk] and 10 is high importance [or probability of failure/risk].

Figure 8 Risk matrix for evaluating logframe *Assumptions*



If the chances of failure are high [it is a high risk], then there may be a problem, and if the assumption is an important one, this may be a **killer assumption,** which will prevent success. In all cases the *Assumptions* describe the *necessary and sufficient* conditions, or working environment, for success. If *Assumptions* fail, they will cause problems, and possibly failure of the project.

Killer Assumptions are best handled by internalising them within the project design, although sometimes a re-design of the project is necessary to ensure the threat is removed [see Box 8].

PCN and project documents which contain what may be considered *Killer Assumptions* will not be funded.

Box 8 Managing *Killer Assumptions*

Internalising an *Assumption* is a technique for reducing its importance, or the risk of it failing to hold. This reduces its significance and can turn a *Killer Assumption* into one that merely needs to be monitored carefully.

For example, a common *Assumption* made in agricultural research projects is that ...*extension services perform effectively*... To ensure that the probability of this holding is increased [the risk of failure is reduced], it can be partially internalised. This is done by building into the project design capacity strengthening and coordination support for extension services.

Step 7 Check logic and content

Once the *Assumptions* have been completed, it is important to look at them as a whole to ensure they are consistent, at the correct level in the logframe, and reflect the necessary and sufficient conditions for success.

- At the level of *Result* and *Activity*, do they define the enabling environment of delivery and achievement?
- At the level of the *Specific Objective* are these the conditions that will define sustainability of any change or impact that the project has?

It is also useful at this stage to re-visit the narrative statements and ensure that they are consistent with the *Assumptions* that have been made.

- Have activities associated with internalised *Assumptions* been included in the *Activities*?

Step 8 Define the measurable indicators and measure them

The *Objectively Verifiable Indicators* [OVI] are a means of determining the success of a project. Annual milestones are required in annual work plans, which show progress towards the final indicator.

There are several guidelines for preparing indicators but the two most common are that they should:

- Reflect Quality, Quantity and Time [QQT] with the addition of Who and Where in some cases [QQT-WW] and
- Be SMART, that is Specific, Measurable, Achievable, Relevant and Time-bound.

Indicators should be defined at *General Objective*, *Specific Objective* and *Result* levels. As they are being defined, it is also important to consider how they will be measured.

Indicators are best constructed in stages. This process is outlined in Box 9, at *Result* level.

Box 9 Construction of an Indicator

For a *Result* which states ...*Appropriate technologies/innovations generated* *and promoted*... an indicator may be developed as follows:

- Define the indicator – Sweet potato productivity increased
- Indicate the **Quality** – Productivity of marketable sweet potato increased
- Indicate the **Quantity** – 25% increase in productivity of marketable sweet potato
- Indicate the **Time** - 25% increase in productivity of marketable sweet potato by 2012
- Indicate **Where** - 25% increase in productivity of marketable sweet potato in the target area by 2012
- Indicate by **Whom** - 25% increase in productivity of marketable sweet potato by female headed households in the target area by 2012

Thus an indicator is developed which measures whether or not the appropriate technologies/innovations have been generated and promoted. It indicates an *outcome* of successful delivery:

25% increase in productivity of marketable sweet potato by female headed households in the target area by 2012

A useful characteristic of OVI is that they may be used to further define what is meant by the statement they are measuring. In the example in Box 9, it is clear from that indicator that the project is keen to be judged on its performance with sweet potato grown by female-headed households.

Specific Objective and *General Objective* indicators should also have measures of **quantity**, **quality, time**, **where** and **by whom** [**QQT - WW**]. Those for the *Specific Objective* must be **independent** of the *Results* and those of the *General Objective*, **independent** of the *Specific Objective* [see Box 3, which explains the issue of *re-statement*].

The means of measuring the objectively verifiable indicators [OVIs] at each of the logframe levels [*General Objective*, *Specific Objective*, *Result*] should be listed. These identify sources of information for verifying the indicators. It is important to remember that there may often be a **cost in verification**, and this needs to be budgeted into the project. Household surveys, for example, are often cited as an *MOV* but the cost in financial and manpower terms is often ignored. Use of reliable, secondary sources of information is always a preferable option, and this should be considered when developing OVI.

An empirical method for assessing the appropriateness of the *MOV* entails looking at each *MOV* and assigning a score for three basic criteria namely the **A**ccuracy of the *MOV*, the **C**ost of using it and the **E**ase with which it can be used – this is referred to as an *ACE Assessment* [see Box 10]. This is a subjective, decision making tool to help decide whether or not an *MOV* is appropriate.

At the *Result* level *MOV* will often be the internal and external reports of the project, as well as associated stakeholders or partners in the delivery. At the higher levels of *Specific Objective* and *General Objective* these may be publication of government or aid agency statistics. The *Activities* should include any action required for gathering means of verification, if this is cited in the *MOV* column.

Remember the *Principle of Necessary and Sufficient* [see Box 1, page 18] applies to both indicators and *MOV*. Include only those *Indicators* and *MOV* that are necessary to measure success, and which together are also sufficient.

Box 10 *ACE Assessment* method

For each *MOV* make an assessment based on your own knowledge and experience, scoring it three times for:

- ***A****ccuracy of the *MOV*, how reliable is the source of information?
- ***C***ost of measurement, how much will the measurement cost in terms of time, and finance. Is it possible to use secondary sources?
- ***E***ase of measurement, how easy is it to make measurements or obtain data? Remember this as **ACE**.

In looking at the elements of ***ACE***, assign a score to it such that for an *MOV* that:

Completely complies = 5
Fairly good compliance = 4
Neither good nor bad compliance = 3
Not particularly good compliance = 2
Fails to comply with criterion =1

Add the scores up and assess them as follows:

A good *MOV* that can be used = 12-15
A reasonable *MOV* that might be used = 9-11
Not a good *MOV* that should be avoided <9

This serves as a useful guide if you are having difficulty deciding between several *MOV*. Remember the principle of necessary and sufficient and use only those indicators and *MOV* which are necessary, and which together will be sufficient to confirm success.

Step 9 Develop Budget and indentify Inputs

At the *Activity* level, the *Budget and Inputs* occupy the space of the *Indicators* and *MOV*. The rationale for this is that in order to satisfactorily complete the *Activities,* inputs and budgets need to be used. So, by showing what these are also shows the mechanisms which will ensure *Activities* are successfully completed.

The *Budgets and Inputs* are **summarised** in the logframe and will need to be expanded in the project documentation. For the logframe, it is sufficient to identify key inputs and major budget lines by project year. These can be estimated based on *Activities*. Table 1 shows possible *Inputs* and some *Budget lines.*

Table 1 Examples of Input types and Budget lines

Inputs	
• Technical support • Lab equipment • Formal Training	• Informal training • Vehicles • Laboratory analysis
Budget lines	
• Travel • Training • Infrastructure • Field operations	• Consumable items • Vehicle maintenance and running costs • Overheads

Step 10 Review the logical framework

Finally review, revise and test the logic and sense of the logframe. It should be concise, clear and provide a solid basis for developing full project documentation as well as guiding implementation, monitoring and evaluation.

Have the principles of *Cause and Effect* and *Necessary and Sufficient* been applied consistently and accurately?

It is important to remember that logframes are living documents, which will almost certainly change over the life of the project, according to changes in the external environment and the way in which implementation proceeds.

Generally speaking, changes to *Indicators* and *Activities* can be made relatively easily, changes to *Results* are less easy and changes to *Specific Objective* and *General Objective* are discouraged. Within CORAF/WECARD, Changes to *Specific Objective* and *General Objective* statements need to be authorised at the level of financial approval.

CHAPTER 3 GUIDELINES FOR PREPARATION OF A PROJECT CONCEPT NOTE

DEFINITION AND PURPOSE • RECOMMENDED PROCESS

SUBMISSION OF NOTES • FORMAT AND CONTENT • CHECKLIST • BUDGETS

A **Project Concept Note** is an outline proposal, which is submitted by an organisation or a group of organisations, for consideration for funding under the CORAF/WECARD's Competitive Grant Scheme.

Function of the PCN

The Project Concept Note [**PCN**] has two functions:

- To allow applicants to submit a proposal in summary form for preliminary assessment and evaluation without the need to prepare a fully detailed proposal;
- To allow the CORAF/WECARD to make a rapid evaluation of submitted proposals to determine their acceptability and to make recommendations for further development to the applicants.

The PCN is the description of an idea for a project proposal. The review and approval of the PCN is the review and approval of that idea. It is meant as a quick way for CORAF/WECARD to assess whether or not it is worth an applicant spending the time and effort to prepare a full and detailed proposal, and it is so the applicant can find out whether their idea is worth the time and effort of writing a full proposal to submit to CORAF/WECARD for funding.

As a result of this, large amounts of detail are not required, although it is necessary to provide sufficient detail for the review process to form a clear opinion as to whether or not the idea is suitable for funding.

Applicants should include **as much detail as possible**, within the guidelines, shown in this *Operating Manual*, so that reviewers can be in no doubt as to how the full project will be developed.

Recommended process for preparing a PCN

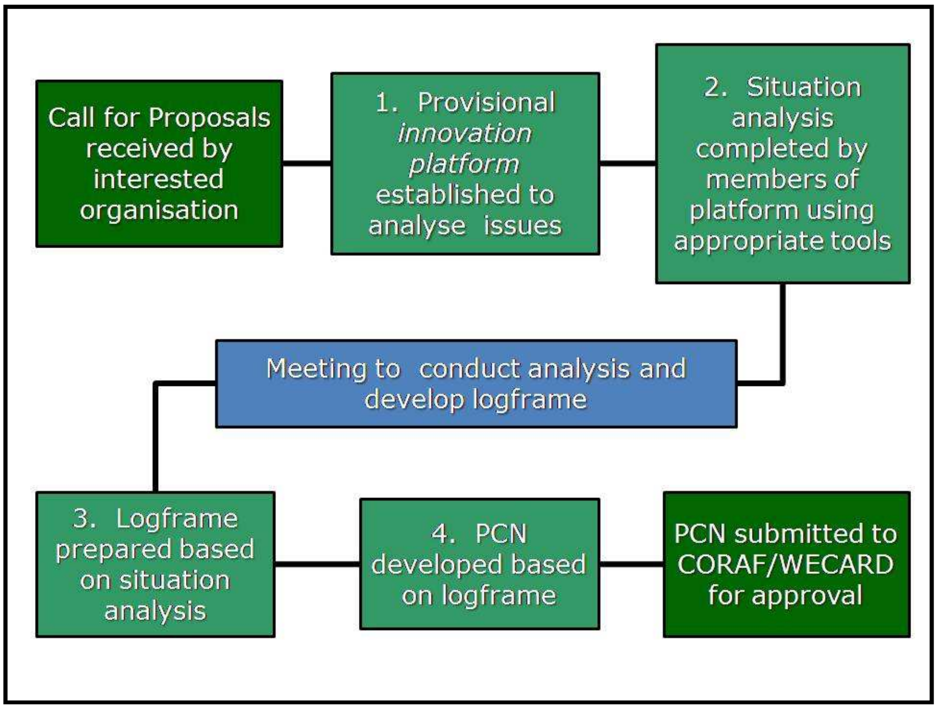
A successful Proposal needs a clear and well articulated PCN. Key to a well structured PCN is a good logframe. Fundamental to a good logframe is a carefully conducted situation analysis. The following process is the one recommended to most likely achieve success.

The organisation leading on the development should contact and include as many of the stakeholders who are part of the *innovation platform* as possible. Initial discussions do not need to include a physical meeting as this is often expensive and time consuming.

Figure 9 summarises the recommended process for PCN preparation. At **Stage 1** a potential lead organisation identifies possible stakeholders and members of an innovation platform to address the some or all of the issues in the Call for Proposals. This establishes a provisional platform for taking the process forward. **Stage 2** involves a situation analysis of the topic[s] raised by the Call by stakeholders. This may include using tools such *Problem Tree Analysis* or *Stakeholder Analysis*. These analyses will help complete **Stage 3**, which requires the development of a logframe to demonstrate the approach that will be taken [see Chapter 2, page 15] and which forms the basis for **Stage 4** the completion of the PCN itself.

This approach is not mandatory but is likely to offer a good chance for a successful PCN.

Figure 9 Recommended Process for PCN Preparation



Submission of a PCN

The PCN should be prepared according to the format described in this Chapter. It **must** include a logframe. The logframe should be completed first, and then the text of the Concept Note after.

In almost all proposals, this framework will need to be amended if the concept progresses to a detailed project proposal. Guidance for preparing the logical framework is provided in Chapter 2 [page 15] of this manual. Sufficient detail and information should be given to allow the reviewers to evaluate the logic and flow of the concept.

CORAF/WECARD may issue additional, specific guidelines for some calls for proposals, but these will still follow the guidelines in this Chapter.

Both successful and unsuccessful applicants will be notified with reasons.

Please note that acceptance of a PCN and an invitation to prepare a detailed proposal, are not guarantees that the proposal will necessarily be accepted for funding.

Lead organisations that wish to apply for funds should submit with their first PCN an *Organisational Profile* that indicates staff levels and qualifications, aims and objectives, funding levels, previous project and work experience and any current activities in similar areas of work. The format for this is given below. **PCN received without an Organisational Profile from first-time applicants will not be processed.**

The PCN must also include a letter of intent from each partner/collaborator confirming their commitment to the work being proposed. **PCN not including such letters of intent will not be processed.**

Once the PCN has been completed, it should be forwarded as soon as possible, and before the deadline, to the CORAF/WECARD Secretariat. **PCN received after the published deadline will not be processed.**

Evaluation of Concept Notes

The Concept Notes are evaluated using the criteria and processes described in Chapter 8 [page 59].

The following table gives more explicit guidance on how to fill in the boxes in the PCN *pro forma*, which is available online [www.coraf.org] or on CD-ROM from the Secretariat.

The completion of the PCN *pro forma* basically involves expanding the information and material outlined in the logframe.

CORAF/WECARD Reference:	Unique reference number provided by CORAF/WECARD

NOTE: *Contact Details* in this section are submitted on a separate sheet

Project Co-ordinator	This is the person with overall responsibility for the application to CORAF/WECARD and the implementation of the Project.
Address	Contact details for the Project Co-ordinator.
Telephone	
Fax	
e-mail	
Collaborator[s]	Collaborating organisations with which agreements have been made. **A letter of intent/commitment, addressed to the lead institution, which demonstrates the collaborators are an active part of the proposal, must be included with the PCN.**

These following sections are submitted on separate sheets to the ***Contact Details***

Project Title	The applicant should provide a title, which concisely and accurately describes the scope of the work
CORAF/WECARD Priority Area	This is the specific area that the project addresses. Note that proposals which do not address issues defined by the CORAF/WECARD *Call for Proposals* will not be processed.

CORAF/WECARD Cross-cutting and Core Functions	Which of the key cross-cutting and core functions of CORAF/WECARD are of particular focus in the PCN.
Project Location	The countries for the proposed project – a minimum requirement is for the project to be in at least 3 countries. Only PCN that satisfy this criterion will be processed.
Total Cost of the Project	Total budget required to implement the full-term project. CORAF/WECARD will indicate in the call for proposals any maximum or minimum budget limits.
Duration of the Project	How long will the project last? The maximum period is three years and there is no minimum, unless stated in the call for proposals.
Date of PCN submission	The date that the PCN was despatched to the CORAF/WECARD Secretariat

***Specific Objective* of the Project** [Guideline 400 words]

What is the justification for the proposed Project? The *Specific Objective* is the impact or change that the Project hopes to achieve by delivering its Results, and provided certain Assumptions hold. It is also stated in summary form in the logframe. It is the reason for the project and should address an identified constraint to the development of the agricultural sector in the sub-region. It should be demand-driven and fall within the regional or country priorities given in the CORAF/WECARD *Call for Proposals* and the Strategic Plan. These are based on some of the key sub-regional and regional targets for the agricultural sector and clearly identified demand from end-users. Background information should include a description of the importance of the constraint[s] that the project is seeking to address and a very brief summary of any significant work already carried out in this area.

Project *Results* [Guideline 300 words]

What will be the *Results* of the work? This is what the project will deliver. They are the *terms of* reference for the project. They are the necessary and sufficient conditions, provided Assumptions hold, for the achievement of the Specific Objective. They must be measurable and deliverable within the time-frame of the Project. They should reflect aspects of the CORAF/WECARD Results identified in its Strategic Plan [see Chapter 7, page 62], which in summary cover technology generation [in the widest sense], policy research, capacity strengthening and knowledge management. They may be seen as, *inter alia*, manuals, audio-visual products, agricultural products, infrastructure, marketing or information systems, policy options, institutional change, technologies. Promotion pathways to target organisations and beneficiaries should be identified where appropriate. Target organisations are those formal or informal groups, which will take up the *Results* of the proposed work and engage in the process of further increasing the numbers of users of the knowledge, technology or methodology.

Research and Development *Activities* [Guideline 300 words]

How will the project be implemented? An outline of the studies, surveys, experiments and *Activities,* which are to be designed and implemented in order to deliver the *Results* of the project. There should be an *Activity* or group of *Activities* associated with each *Result* of the project, the *Activities* defining the action strategy for *Result* delivery.

Holistic methodologies that use novel approaches and combinations of stakeholders in innovative ways are encouraged.

Target Groups and Beneficiaries
Who are the main target groups and beneficiaries of the proposed work? The *target groups* are those closely involved in the implementation of the project whilst *beneficiaries* are beyond the immediate project boundary. Both groups will gain social, economic or environmental advantage from the technology, methodology or knowledge transfer *Activities* of the work to be supported. The *target group* immediately and the *beneficiaries* after further up-scaling of project *Results*. They may be identified in, for example, the household, the village community or the regional/national community.
Assumptions
Explain particularly significant Assumptions at each level in the logframe. Important assumptions are **external** conditions or are factors over which the project does not have direct or complete control, but on which the delivery of Results and achievement of objectives depends. [See Chapter 2, page 15 on logframe preparation for further information.]
Financial Summary

The financial summary should take in to account anticipated inflation and be kept to a minimum consistent with achieving the project *Outputs*.

<table>
<tr><th>[1, 2]Proposed Activities</th><th>Year 1</th><th>Year 2</th><th>Year 3</th><th>Total</th></tr>
<tr><td>Activity 1</td><td></td><td colspan="2" rowspan="3">For process projects an estimated expenditure based on projected Activities is required for years after year 1</td><td></td></tr>
<tr><td>Activity 2</td><td></td><td></td></tr>
<tr><td>Activity …n</td><td></td><td></td></tr>
<tr><td>[3]Overheads</td><td></td><td></td><td></td><td></td></tr>
<tr><td>[3]Contingency</td><td></td><td></td><td></td><td></td></tr>
<tr><td>TOTALS</td><td></td><td></td><td></td><td></td></tr>
</table>

[1] **Rates for travel and subsistence should be according to the institutional norms of the organisations involved with the application. Certified, documentary evidence is required with the PCN that these are official rates.** These should be kept to a minimum consistent with achieving the *Outputs* described in the PCN.

[2] A full justification for the purchase of equipment will be required in the project proposal.

[3] **The total of *Overheads* and *Contingency* should not exceed 15%, and should, in any case, be kept to a realistic minimum.** Where private sector organisations have additional tax liabilities, the CORAF/WECARD Secretariat should be consulted.

Format for Organisational Profiles

1. ORGANISATIONAL PROFILE – NGOs and Community-based Organisations

NGO and CBO Organisations wishing to act as the coordinating/lead organisation for a proposal should complete the following form. Additional information can be put on a separate sheet and attached to the form. None of the information given here will be disclosed without your consent. **It should be submitted at the same time but separate from the PCN.**

Name of the organisation	
Type of the organisation [local, regional, national]	
Contact details [address, telephone, fax, email]:	
Registration date and serial number with concerned organisation:	
Date started to work:	
System of book-keeping	
Date of last renewal of the registration	

<table>
<tr><th colspan="8">Description of work</th></tr>
<tr><th rowspan="2">Type of work</th><th rowspan="2">Region or area</th><th colspan="3">Household covered/contact person</th><th>Working period</th><th>Fund mobilisation</th><th>Source of fund</th></tr>
<tr><th>Total</th><th>Female</th><th>Male</th><th></th><th></th><th></th></tr>
<tr><td rowspan="2">Past Work</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="8">Extra rows may be added as required or details attached on a separate sheet</td></tr>
<tr><td rowspan="2">Present work</td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="8">Extra rows may be added as required or details attached on a separate sheet</td></tr>
<tr><td colspan="8">If you have an internal fund, describe briefly how is it generated.</td></tr>
<tr><td colspan="8"></td></tr>
<tr><td colspan="8">List the major objectives of your organisation mentioned in your organisation's act.</td></tr>
<tr><td colspan="8"></td></tr>
<tr><td colspan="8">How have you analysed the local agricultural and social situation of the area?</td></tr>
<tr><td colspan="8"></td></tr>
</table>

Is there any community or other contributing to your programme?
Explain briefly what kind of relationship/co-ordination your organisation has with other organisation[s].
Does your organisation give emphasis to gender issues? If yes, at what level [for example in office staff recruitment, responsibilities of staff, beneficiary's level in participation/decision making/benefiting from the programmes.]?

Human resource in the organisation				
Name of persons		Position in organisation	Education qualification	Area and number of years of experience
_				
_				
_				
Extra rows may be added as required or details attached on a separate sheet				
RECENT PUBLICATIONS [titles and references] by the organisation and its staff				

The size of the boxes on this form has been reduced for presentation purposes. Hard and electronic copies of the forms can be obtained from the CORAF/WECARD Secretariat, the electronic version may also be downloaded from the CORAF/WECARD Website

http://www.coraf.org

CHAPTER 4 GUIDELINES FOR PREPARING PROJECT PROPOSALS

Introduction • Format and content

Submission of a Project Memorandum

The following notes provide information for completing a Project Proposal from a Project Concept Note. The notes have been inserted in the appropriate sections of the CORAF/WECARD full proposal form. Once the Proposal is completed, it should be forwarded as soon as possible, and before the deadline, to the CORAF/WECARD Secretariat. **Proposals received after the published deadline will not be processed.**

A blank form is available online [www.coraf.org] or on CD-ROM from the Secretariat.

> The size of the boxes on this form has been reduced for presentation purposes. Hard and electronic copies of the forms can be obtained from the CORAF/WECARD Secretariat, the electronic version may also be downloaded from the CORAF/WECARD Website
>
> **http://www.coraf.org**

SECTION A: KEY INFORMATION

Total Cost of Project:

Duration of Project:

Date of Submission:

Location of Project:

[NOTE: Section A1 should be submitted on a separate sheet]

A1 Project Title	
The applicant should provide a title which describes the scope of the work and an abbreviated version of the project title for administrative purposes.	
Project Co-ordinator	This is the person with overall responsibility for the application and the implementation of the Project.
Address	Contact details for the Project Co-ordinator
Telephone	
Fax	
e-mail	
Collaborator[s]	

A2	**Project Summary** [Guideline of 100 words]
Please write a summary which briefly describes the development problems and how the project will help to solve them. The summary should identify the Project *Purpose*, proposed *Activities* and expected *Outputs*.	
A3	**Project Location**
The countries for the proposed project – a minimum requirement is for the project to be in at least 3 countries.	
A4	**Starting and Finishing Dates**
The duration of the project should be the minimum necessary to deliver the *Results* of the project set out in proposal. The fund will not support proposals requiring funding for more than three years, and objectives should be carefully defined with this in mind.	

** Attach the Project Logical Framework **
The logical framework is described, and guidelines for its construction are given, in Chapter 2 [page 15].

SECTION B: PROJECT INTRODUCTION AND PURPOSE	
B1	**Project's *Specific Objective***[Guide length - 50 words]
The project *Specific Objective* means the **impact, or change, which it is hoped to achieve by delivering the project Results**, provided certain key Assumptions hold. This should not be a reformulation of the *Results*.	
B2	**What problems or needs is the project aimed at?**
Applicants are asked to provide a brief description of the problems or needs which the project will help to resolve. This description should be as specific as possible and directed to practical problems. Evidence in economic and/or social terms should be provided.	
B3	**What is the evidence for the demand for the proposed work?**
Describe how the applicants have determined that demand exists for the proposed work. Is the project *General Objective* linked to that of CORAF/WECARD and the wider policy environment of NEPAD and CAADP/FAAP? Will the *Specific Objective* contribute to this *General* Objective in a meaningful way, and are the *Results* necessary and sufficient to achieve this *Specific Objective*? It is especially important that the role of *Target Groups* [see **B5**] in determining the nature of the proposed work is explained. How have they been involved in the preparation of the proposal, and do they have a sense of ownership of the process and results.	
B4	**Will the project contribute to resolving those problems [in B2] and over what timescale?**
What contribution will the successful conclusion of the project make to resolving the problems described in **B2**. Support your case with quantitative social and/or economic data. How will the *Results* be utilised?	

Continued...

B5 Who are the target group?
The *target group* are the people immediately involved in the implementation of the project, and who will be the first to use and benefit from the *Outputs.* Indicate which target/collaborating groups or intermediate users of project products [information, technology, methodology, materials, structures for example] have been identified and have explicitly agreed to the objectives of the project.
B6 Who will the beneficiaries be and are there any groups who will be disadvantaged by the application of the findings of the proposed work?
Beneficiaries are those outside the immediate project area, who will benefit in time from the project *Results*. This will be as a result of the spread or up-scaling of the processes, systems or technology developed by the project. Explain who is likely to benefit from the successful conclusion of the project and, in particular, which communities will benefit, and why. State whether there will be any group on whom project findings or *Activities* and application may have a **negative impact**, both immediately or in the longer-term. For example, when a category of person's labour is no longer required because of the development of a certain technology. With regard to both positive and negative impact, particular attention should be paid to the benefits of the project for women as well as for the poor. Indicate whether representatives of the beneficiaries have participated in defining their needs such that they are commonly understood. Explain how representatives of the intended beneficiaries have been involved in the preparation of the proposal, and so may have a sense of ownership of the project process and the results.
B7 How will the proposal contribute to sustained poverty reduction?
Explain how the project will contribute, directly or indirectly, to poverty elimination amongst the target groups and beneficiaries.
B8 What are the proposed promotion pathways for the uptake, or up-scaling, of the project *Results* to the intended beneficiaries?
If applicable, identify how the *Results* of the project will reach a wider set of beneficiaries. • Have any market studies for the Results been produced? • How will the Results be made available to intended users? • What are the further stages that will be needed to develop *Results* such as testing and establishing manufacture of a marketable product? • How, and by whom, will the further stages be done and paid for? • Indicate the ownership of the promotion/up-scaling pathways? If applicable, what mechanisms will be used in dissemination/up-scaling: • personal professional contact; • publications; • hand-over of actual materials; • training; • technical internal report; • other [please specify]. If the project is to produce intermediate products, list these and indicate the classes of beneficiaries, which should receive each type of product. Include the cost of dissemination. The project should cover all its own publication and distribution costs.

SECTION C: BACKGROUND TO WORK
C1 What work has previously been done or is currently being pursued towards the *Specific Objective*, *Results* and *Activities* of the project? [Guide length - 500 words]
For research focussed projects, describe briefly any relevant work which has either been done or is currently being done by your organisation or institution. Explain how this project will relate to that work. Provide a brief literature review in order to relate this project to other relevant research. Note that the aim of this review should be to provide the *scientific background* to the project. It is important to establish that previous knowledge has been adequately addressed and knowledge gaps properly identified. **For extension/development focussed projects**, describe the current farmer practice, and indicate what will change as a result of the project, what has been tested elsewhere, what is new and how local resources will be utilised in the *Result*.

SECTION D: OUTPUTS AND ACTIVITIES
D1 What are the project's intended *Results*?
What is the project to accomplish? These are the results and/or products appropriate to the project *Specific Objective*. The *Results* should be clearly stated and they should be necessary and sufficient to achieve the *Specific Objective* of the project. Expand on the *Results* given in the logical framework, giving detail of what lies behind those statements.
D2 What are the objectively verifiable indicators for the *Results*?
Please expand on your logical framework statement. Show the logical connection between these and the *Outputs* and why they have been selected as indicators.
D3 How will the *Result* indicators be measured?
Please expand on your logical framework statement. Explain any methodology that will be necessary in order to verify the indicators.
D4 What are the expected environmental impacts? [beneficial, harmful, neutral]
Yes or no answers will **not** be sufficient. Highlight any hazards arising from the implementation of the project itself and, briefly, any positive or negative impacts which the implementation of the project *Outputs* may lead to.
D5 What are the expected social impacts? [beneficial, harmful, neutral]
D6 What are the expected economic impacts? [beneficial, harmful, neutral]

Continued...

D7 Describe the project *Activities*
There should be an *Activity* or group of *Activities* associated with each of the project *Results*. The description of the *Activities* should explain how the project's *Results* will be delivered. This should include a discussion of the problems to be considered, the approach and **methods** to be adopted and the concepts or hypotheses to be examined or tested. A *Gantt Chart* should be prepared to summarise the *Activities* listed. **Where appropriate**, the proposed methods of data collection and analysis should be set out and justified. Where field data are to be collected, attention should be given to sampling, sample size and bias and their possible implications for the wider applicability and validity of the results. Where a questionnaire survey is intended, a draft version should be supplied with the application. Any additional technical support [such as biometric or social science] should be described in this section with the appropriate *Activity* or methodology to be used.
D8 Attach milestones for the life of the project
A milestone is defined as a specific, significant, intermediate *indicator*, which is a necessary step towards delivery of the final *Results*[s]. These will assist in monitoring progress. These milestones may be subject to review, and are only required for the first year. Subsequent milestones should be presented with each annual *Activity* plan.

SECTION E: COLLABORATION AND PARTNERSHIPS
E1 Internal Collaboration and Partnerships
Internal partners are those with whom agreements have been signed, and who are an integral part of the project implementation and *Activities*. Indicate the mechanisms for collaboration between any partners within the project structure. Issues such as planning, monitoring, responsibilities, roles and reporting should be explained.
E2 External Collaboration
External collaborators are those who will interact with the project, such as target groups, but who are not directly involved with the implementation. They may be, for example, stakeholders invited to open days or training workshops. Indicate how the project will liaise with these partners who are external to project funding and implementation. Who will these partners be, and what will be their role in the project implementation? Indicate what role farmers will have in the planning, monitoring and implementation process.

SECTION F: FINANCIAL INFORMATION
F1 Total financial support requested from CORAF/WECARD
Budgets should be presented by project *Activity*, and the budget for each *Activity* should be broken down separately to indicate how the final figure has been determined. Rates for travel and subsistence should be according to the institutional norms of the organisations involved with the application. Certified, documentary evidence is required that these are official rates. Management of funds will be according to CORAF/WECARD's financial rules. The budgets should be shown in US$ and by calendar year [1st January to 31st December]. Full allowance should be made for inflation. Reasonable administrative costs [overheads] may be included, but will need to be itemised and accounted for. Such costs may include the relevant proportion of the following: • general secretarial, administrative, accounting and computer costs; • rent, rates and other expenses of upkeep or offices, furnishings, equipment and supplies; • postage, telecommunications and other utilities. The purchase of capital equipment items will **not** normally be supported, but if requested will need to be fully justified. Contingency should be kept to a minimum and the total of contingency and overhead charges should not exceed 10% of the total budget.
F2 Other contributions
Indicate any contributions, financial or in kind, that the applicant organisation[s] will make towards project implementation. This is especially important for *development* projects where sustainability of results after completion is an issue.
F3 Application elsewhere
Please state if you have applied elsewhere for funding for this particular project proposal

The size of the boxes on this form has been reduced for presentation purposes. Hard and electronic copies of the forms can be obtained from the CORAF/WECARD Secretariat, the electronic version may also be downloaded from the CORAF/WECARD Website

http://www.coraf.org

CHAPTER 5 GUIDELINES FOR REPORT PREPARATION

MONITORING PROGRESS ● QUARTERLY REPORTS ● ANNUAL REPORTS
PROJECT COMPLETION REPORT

Monitoring Progress

Monitoring and reporting the progress of the project is primarily the responsibility of the Project Co-ordinator. This section provides some useful tools that will help monitor the project progress so that it remains on track.

This area of CORAF/WECARD procedures is under development and if necessary separate document will be issued that supplements or supersedes the guidelines given here.

Quarterly Progress Reports

The Quarterly Progress Reports [every three months, or four times a year] provide an internal monitoring system. These regular reports record progress that the project has made during the reporting period.

The information comes from the Project Co-ordinator and the rest of the team's assessment of progress towards implementing project Activities and delivery of Results.

The Project Gantt Chart provides a useful tool for monitoring a project's progress. The CORAF/WECARD Office should be informed of any changes to the Gantt Chart as this tool is also used by them for monitoring purposes.

Regular Meetings

Regular meetings of the project team, with collaborators, are a useful tool for monitoring the progress. Meetings need to be planned well in advance so that team members and collaborators can arrange the time required for their meeting.

Meetings of collaborators and partners, once every 3 months, are useful for both planning future work and reporting on progress made during the period. This information assists the Project Co-ordinator in completing reports.

In addition, CORAF/WECARD Secretariat will make at least one informal field visit a year to projects sites to discuss progress and help resolve any implementation difficulties.

Field Visits/Collaborator Visits

The Project Co-ordinator should make visits to the field and to collaborators' sites, where appropriate, to see that *Activities* are as planned.

All field and collaborator visits should be documented and included in the project files.

Result to *Specific Objective* Review [RSOR]

Approximately 12-14 months before the end of the project, the CORAF/WECARD Secretariat will conduct an *RSOR*. During this review, progress towards the delivery of the project *Results* will be assessed. This is a period when realistic decisions are made about whether or not the original project *Results* will be delivered in full or whether modifications to the project will be necessary.

Participants in the *RSOR* include the project team, CORAF/WECARD staff and external specialists as required.

Reporting requirements

One of the main responsibilities of the Project Co-ordinator is to ensure that the project reporting requirements are fully met. Failure to do so may result in delays to the release of funds and the implementation of the project.

CORAF/WECARD requires a number of different Technical Progress and Financial Reports during the life of the project. These are described in detail below. These reporting formats are relatively simple and are primarily designed to allow all stakeholders to assess the progress of the project in terms of delivering the contracted *Results*.

The reporting formats are designed to highlight good/bad, positive/negative points and to highlight any areas that may need changing during implementation. The early reporting of any constraints/problems allows both the CORAF/WECARD and the project to make appropriate changes.

All the CORAF/WECARD reporting formats are designed to assist project implementation and management.

It is important that CORAF/WECARD reports are completed accurately and submitted on time [report due dates are noted below]; the release of funds depends on satisfactory technical and financial reports.

How to send the reports

Reporting should follow any arrangements that have been made between collaborating organisations in their MoU, and meet the requirements of the organisations concerned. CORAF/WECARD requires copies of reports, which may be sent as hard copy or by email. The postal address is:

a] Posted to: CORAF/WECARD, 7 Avenue Bourguiba, BP 48 Dakar, Senegal

b] Email as an attachment to: secoraf@coraf.org

CORAF/WECARD reporting schedule

Each *quarter* two reports are submitted to the CORAF/WECARD Secretariat, a technical progress report and a financial report. Both of these cover the previous three month period. The deadlines for reports to reach the CORAF/WECARD Secretariat office are given in the agreement document signed between CORAF/WECARD and the successful applicant, and will depend on the actual start date of the Project.

An *example* of such timetables is given below, for a start date of *1st August*, for 1, 2 and 3 year long projects:

One Year Project [example, 1st August start date]

	Quarterly Reports	Annual Report	Completion Report
Year 1 – 1st Quarter	1st November		
Year 1 – 2nd Quarter	1st March		
Year 1 – 3rd Quarter	1st June		
Year 1 – 4th Quarter	1st September	15th September	15th September

Two Year Project [example, 1st August start date]

	Quarterly Reports	Annual Report	Completion Report
Year 1 – 1st Quarter	1st November		
Year 1 – 2nd Quarter	1st March		
Year 1 – 3rd Quarter	1st June		
Year 1 – 4th Quarter	1st September	15th September	
Year 2 – 1st Quarter	1st November		
Year 2 – 2nd Quarter	1st March		
Year 2 – 3rd Quarter	1st June		
Year 2 – 4th Quarter	1st September	15th September	15th September

Three Year Project [example, 1st August start date]

	Quarterly Reports	Annual Report	Completion Report
Year 1 – 1st Quarter	1st November		
Year 1 – 2nd Quarter	1st March		
Year 1 – 3rd Quarter	1st June		
Year 1 – 4th Quarter	1st September	15th September	
Year 2 – 1st Quarter	1st November		
Year 2 – 2nd Quarter	1st March		
Year 2 – 3rd Quarter	1st June		
Year 2 – 4th Quarter	1st September	15th September	
Year 3 – 1st Quarter	1st November		
Year 3 – 2nd Quarter	1st March		
Year 3 – 3rd Quarter	1st June		
Year 3 – 4th Quarter	1st September	15th September	15th September

Guidelines on Completing the Quarterly Progress Report

The basic reporting formats are described below; however the exact requirements may differ for some specific calls. When this is the case, detailed guidelines will be issued with the letters of agreement. All reports should contain at least the following headings:

- Activities carried out during the reporting period;
- Progress towards delivery of Results measured by progress towards annual milestones;
- Problems or constraints encountered during project implementation;
- Lessons learnt for improvement of Activities, and the comments of stakeholders;
- Activities to be carried out during the next quarter.

The project proposal [or any agreed amendments to it] will be used for assessing progress towards the delivery of *Results*, using the Objectively Verifiable Indicators [OVI's] and annual milestones.

If *Activities* require rescheduling, a revised Gantt Chart should be submitted with the Quarterly Report. Changes to *Activities* should be discussed with, and approved, by CORAF/WECARD.

The following section on the completion of Quarterly Technical Reports uses the *pro forma* to explain how each section should be completed. A clean version of this *pro forma*, without annotations, is available online [www.coraf.org] or on CD-ROM from the Secretariat.

The Quarterly Technical report *pro forma*

CORAF/WECARD Reference Number:	This is the unique project number assigned by the CORAF/WECARD Secretariat
Reporting Period:	Enter the dates of the *quarter* being reported
Project Title:	The title as it appears on the approved project proposal
Project Co-ordinator:	The name of the person with the role of co-ordinator
Project Start Date:	Date that implementation started
Expected Completion Date:	Expected completion date of the project

<table>
<tr><td colspan="4">SECTION A Progress towards achievement of Results: [When the Project Proposal was accepted by CORAF/WECARD this was on the basis of the specified Results. At the end of each quarter CORAF/WECARD is therefore especially interested in the progress your project is making towards delivering these. This is why the section on reporting of Results is the first section of the report.]</td></tr>
<tr><td>Result No:</td><td>The Result number as given in the original document</td><td>Result:</td><td>The written Result as it appears in the approved project proposal.</td></tr>
<tr><td>Rating:</td><td>See box below</td><td>Result Status:</td><td>Give a brief explanation of why the rating was assigned</td></tr>
<tr><td>Action required:</td><td colspan="3">If a rating other than 4 was given for the Result, then the action that is necessary, or will be taken to rectify the problem, should be given here.</td></tr>
</table>

Rating System

The rating system for Project *Results* uses a four point scheme.

A rating of 4, 3, 2 or 1 should be given to each *Result*, and entered in the *Rating* column above. The ratings are as follows:

Rating	Status of *Result*
4	Will be delivered as planed
3	Expected to be delivered as planned
2	At risk of not being delivered
1	Unlikely to be delivered

Score 4 = All *Activities* relating to the *Result* are proceeding as planned, and few or no problems having arisen in implementation. The *Result* will therefore be achieved as originally planned

Score 3 = The majority of *Activities* relating to the *Result* are proceeding as planned. There have been some problems/delays in implementation, but these are being addressed, or will be addressed by the project team in the next *quarter*. The action being/to be taken will ensure that the *Result* will be achieved as originally planned.

Score 2 = A number of *Activities* relating to the *Result* are experiencing problems or delays. These may be outside the control of the Project Team. Considerable effort will be needed to ensure that the *Result* is achieved as originally planned, and rescheduling of *Activities* is likely to be required.

Score 1 = Most or all the Activities relating to the Result are experiencing problems or delays or have not been implemented.

There should be no reluctance to give ratings of 3, 2 or 1. The sooner CORAF/WECARD knows about any problems, then the more time there is to provide appropriate support to bring the *Results* back on schedule. *Monitoring is to help implementation.*

** ADDITIONAL BOXES SHOULD BE ADDED FOR EACH RESULT **

SECTION B ***Activities* during the reporting period**			
Activity No:	*Activity* number as it appears on the approved Gantt Chart	*Activity*:	The description of the *Activity*
Implementation Status:		Describe what progress has been made with this *Activity*. Note that the progress of project *Activities* will be assessed against the current Gantt Chart, agreed with CORAF/WECARD, and should be referred to when reporting. This will ensure that all *Activities* that were scheduled to take place during the *quarter* are reported. Even if an *Activity* has not happened although it was scheduled, it should still be reported along with the reason for the delay.	
Means of verification:		Indicate how you will know when the *Activity* has been satisfactorily completed.	

** ADDITIONAL BOXES SHOULD BE ADDED FOR EACH *ACTIVITY* **

SECTION C **Problems or constraints encountered during *Activity* implementation**	
Activity No:	Problem or Constraint
Activity number for which there is a problem, as it appears on the approved Gantt Chart	This section of the form gives you more space to expand on how you are going to resolve any problem or constraints, mentioned briefly in **Section A**, which are having an impact on project implementation. Particular reference should be made to the risks and assumptions that were made at the time of project formulation, and which are now causing problems for the project. For example: At the project design stage, farmers may have been willing to co-operate in your project, but now that the project is underway farmers are losing interest. The price of the crop you are encouraging farmers to introduce into their cropping system may have fallen so that the introduction of the crop is no longer profitable. There may be problems effecting individual *Activities*, or the project as whole, but they should all be mentioned.

** ADDITIONAL LINES SHOULD BE ADDED FOR EACH *ACTIVITY* **

SECTION D ***Activities* for next *quarter***	
Activity No:	*Activity*
Activity number as it appears on the approved Gantt Chart	Indicate here the *Activities* to be carried out in the coming *quarter* according to the Gantt Chart for your project. Please list the *Activity* numbers as they appear in the original Project Proposal, or any subsequent agreed amendments to it.

** ADDITIONAL LINES SHOULD BE ADDED FOR EACH *ACTIVITY* **

Annual Technical Report

The Annual Technical report is a maximum of two pages attached as a *supplement* to the 4th Quarterly Report. It is a year-end report to assess the progress made towards achieving the project *Specific Objective*, validity of the project *Assumptions*, and any management action that is required to assist project implementation. It should include a revised Gantt chart if this is appropriate. Guidelines for completing the report are given below, in the boxes of the *pro forma* for the report. A clean version of this *pro forma*, without annotations, is available online [www.coraf.org] or on CD-ROM from the Secretariat.

Annual Technical Report – *pro forma*

1. Review
This section provides a brief assessment of the progress being made towards achieving the project *Specific Objective*. Progress is reported on: • Interaction between the project team, institutional stakeholders and farm households/clients; • Development of clear recommendations relevant to client needs; • Identification and development of a dissemination/uptake strategy.
2. Status and validity of important assumptions
In each proposal, and included in the Logframe, are key *Assumptions*. These highlight external factors over which the project team has no direct control, which need to hold true if project *Results* are to be delivered and the *Specific Objective* is to be achieved. These need to be continually monitored and managed. This section documents whether or not assumptions have held true, and if not, how this is impacting on project implementation. Any action that is required should be highlighted, as well as who, external to the project, should take that action.

3. Management action required to address any identified external constraints to project implementation
This section highlights management action required to support project implementation that needs to be taken by institutions or individuals outside the project team. Issues might include, *inter alia*, the timely release of funds, provision of timely expenditure reports to project leaders, timely approval and processing of procurement/training requests. Project Co-ordinators should ensure that they have taken all reasonable action to resolve these constraints themselves before highlighting action required others.
4. Description of next year's programme
This section should briefly comment on how the experience of the past year of project implementation is being incorporated into next year's plan. Any changes in the specification or scheduling of *Activities*, *Results*, or resource requirements should be noted and justified. An updated chart of *Activities* for the next project year is prepared as a separate page, with a Gantt chart of *Activities* for the next year. This should clearly indicate any changes that are required. This section should also include *Milestones,* which show progress towards delivery of *Results* and provide *intermediate* indicators of progress. For *process projects* this is an especially important section, which builds on lessons learnt during the year and develops a workplan that reflects these. The budget for the following year will be based on these *Activities*.

Project Completion Report

Guidelines

The purpose of the CORAF/WECARD Project Completion Report [PCR] is to provide an end of project statement and a record of *Result* delivery. The Project Completion Report should document:

- Practical recommendations arising from any work which has been demonstrated as useful to other stakeholders as well as the target group;
- Stakeholder participation/collaboration in the research and development process and their initial response;
- The dissemination/uptake pathways and methods that have been used and/or identified and the extent to which [and how] dissemination may have already occurred;
- Follow-up action/further research and development that may be required.

The project's assessment of what indicators of impact could be used, with clear links to the project work, in any subsequent *ex-post* evaluation of the project.

The CORAF/WECARD Project Completion Report is not a scientific paper/publication. It aims to provide management information relevant to CORAF/WECARD's needs, which can also be readily accessed and understood by research and development partners, collaborators, client groups and funding contributors to CORAF/WECARD.

It is intended to encourage stakeholders to think about the uptake and dissemination of any technologies that may have been developed by the project.

The Project Completion Report is in two parts: an information summary sheet and the main report. Both are set out in a tabular *pro forma*. The explanations and guidelines given below are placed on the *pro forma*. A clean version of this *pro forma*, without annotations, is available online [www.coraf.org] or on CD-ROM from the Secretariat.

Project Completion Report [PCR] – **Summary Sheet**

CORAF/WECARD Reference Number:			
Project Title:			
Project Co-ordinator:			
Address:			
Telephone:			
Fax:			
Email:			
Collaborating organisations:			
Start Date:		**End Date:**	
CORAF/WECARD Funding Envelope:			
CORAF/WECARD Priority area:			
Original budget		**Actual expenditure:**	

1. Researchable constraint/problem the project aimed to address
This is a summary of Section 1 in the Full PCR. It is important to be concise, but also to include all the relevant information.
2. Target group/users
This is drawn from Sections 1 and 2 of the full PCR.
3. List of key results/recommendations
4. Dissemination of results and prospects for adoption
5. Recommendations for follow-up and future *Activity*
6. Lessons learned

7. Project Leader's Ratings of Project Achievements/Success		
Description	Rating	Note
Implementation performance	1/2/3/4 See notes below	Refers to *Activity* completion, input availability, budget management, collaboration and participation of the target group during implementation
Result Delivery	1/2/3/4 See notes below	Refers to planned *Results* and OVIs in the Logframe, including the development of clear recommendations for broader dissemination
Uptake and adoption: By Farmers By dissemination agents By scientists	A/B/C See notes below	Refers to the project *Specific Objective*, development and implementation of dissemination/uptake strategies, initial response of stakeholders and target groups and prospects for impact

Rating	Status
4	Highly successful
3	Limited success
2	Mostly successful
1	Unsuccessful

Rating	Status
A	Expect to be fully adopted
B	Part/some *Results* expected to be adopted
C	Unlikely to be adopted

Main Project Completion Report

As a guide, the main body of the Project Completion Report should not be more than 10 pages, plus selected attachments. It is important to be accurate, concise and to include all the relevant information.

1. Background
This section should be an abstract from the original project proposal, and provide an overview of how the demand for the project was identified and should include, *inter alia*: • the researchable problem/constraint[s] tackled by the project; • the target groups and collaborators; • project scope [attach the original or modified Logframe].

2. Implementation performance
This section is **not** meant to be a detailed description of the project's methodology [research or extension] or the results. Based on information contained in the *quarterly* reports, other project records and the knowledge of team members, this section should briefly highlight: • The research and development *Activities* completed, such as data collection/literature review, farmer trials, field trials, training, field work, workshops, publications; • Any significant changes/modifications to planned *Activities* that were required during implementation; • Key inputs/resources that were used during project implementation [staff, supplies, equipment], and whether the planned inputs were secured in a timely manner; • The effectiveness of collaboration with other agencies/institutions, • The type and level of farmer involvement in the implementation of the project [who, how, when].
3. Situation regarding delivery of *Results*/results
This section describes the results and products achieved by the project, with reference to *Result* statements and OVIs. It addresses whether: • All the anticipated *Results* were delivered • The OVIs match what has actually happened; if not, what were the primary reasons; • A solution been identified to the problem/constraints identified at the start of the project. Any recommendations resulting from the project that are relevant to the information needs of target groups should be described in language accessible to the stakeholders who are expected to further extend/use the results, such as extension agents, NGO staff, seed producers, input suppliers or farmers.
4. Prospects for the adoption of the new technology and achievement of *Specific Objective*
This section describes how results have been, and might continue to be, spread and taken up by users. It also describes the expected impact on agricultural production or productivity if results are widely used and successfully adopted. It therefore describes: • The identified dissemination/uptake pathway and any *Activities* already undertaken to promote dissemination of *Results* to users. This should not just happen at the end of the project, but be incorporated in the project's processes and *Activities;* • Any initial response of stakeholders and target groups to the project *Results;* • Any productivity, income or other livelihood benefits that may already be evident, or that might be expected if the *Results* are widely disseminated and successfully adopted.

5. Key indicators of potential impact identified by project stakeholders

The section should answer the question:

How to assess or measure the impact of the project and what changes should be apparent in a follow-up evaluation of the project in five years time?

It should show up to three key indicators that might be used to assess future impact should an evaluation of the project be made after its completion.

For example, if the project has produced recommendations, which have prospects for further dissemination and adoption, what changes may be seen at the farm/household level:

- In agricultural practices/technology use or farm production];
- In extension messages/approaches;
- In market opportunities for farmers;
- In the type of follow-up work to be undertaken

6. Proposed follow-up

Specify what additional *Activities* [how and by whom] may need to be undertaken to disseminate project results, or to further develop, test and establish a relevant technology that meets farmers' demonstrated needs. *Activities* might include extension *Activities*, further research, market studies, or testing and manufacture of a product.

Indicate any specific action that make the achievements of the project sustainable, and any specific actions which explicitly make the benefits of the project accessible to socially disadvantaged people.

Policy changes may also be recommended, and the follow-up should indicate who will implement them and how the project team will initiate and influence this process.

7. Lessons learned

A brief summary of key lessons learned by the project team and collaborators should be provided. These lessons might be:

- Internal to the management of the project;
- About assumptions or external factors;
- About constraints to the adoption of productivity increasing technologies.

8. Publications and contacts

Provide a list of publications and internal reports produced by the project, including reference to where these are filed/stored.

Provide the names, addresses and phone/fax/email details of the project team and any external collaborators.

Electronic templates

The CORAF/WECARD Secretariat holds electronic templates of all formats. These are best obtained by e-mail, but can be provided on diskette or as hard copy upon request.

CHAPTER 6 FINANCIAL MANAGEMENT AND MONITORING

INTRODUCTION • FINANCIAL MONITORING • PROCEDURES • FORMAT AND FORMS

As a basic principle, funds are released in advance on the basis of agreed workplans and budgets. The general flow of funds is shown in Figure 10.

The five forms used to request and account for funding, are available online [www.coraf.org] or on CD-ROM from the Secretariat. The preparation and submission of these is linked with the reporting process described in Chapter 5 [page 44].

Training and guidance can be given by the CORAF/WECARD Secretariat before implementation if there is any doubt on the correct procedures.

PROCEDURES

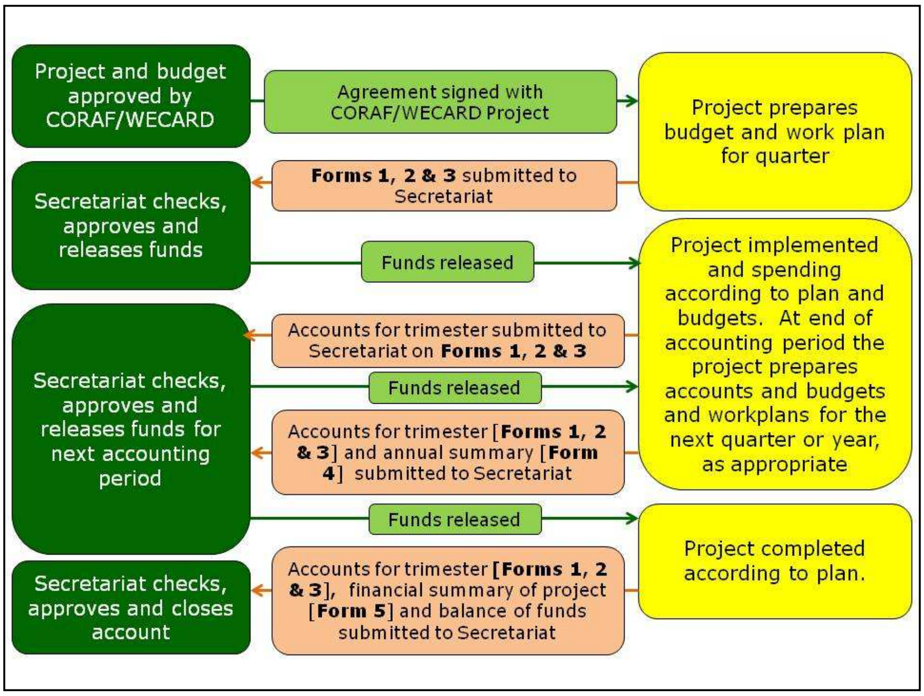
The project budget is approved with the project proposal. This will be carefully structured and based on a clear workplan for the full term of the project. It will have the capacity for amendments based on progress and lessons learned during that and subsequent years.

CORAF/WECARD has five forms:

> **FORM 1** – *Estimated expenditure for the next quarter, based on the approved budget and workplan.*
>
> **FORM 2** – *Summary of expenditure and income for the current Quarter.*
>
> **FORM 3** – *Application for funds for the next Quarter.*
>
> **FORM 4** – *Annual Financial Summary.*
>
> **FORM 5** – *Project Completion Financial Summary.*

The aim has been to keep the forms as simple as possible, whilst maintaining the maximum amount of transparency and accountability.

Figure 10 CGS Financial flow chart



The CORAF/WECARD *Working Procedures* detail the financial regulations and permissible items for expenditure, and should be referred to if in doubt.

The cycle of fund dispersal is shown in Figure 10. As soon as the agreement has been signed between the Project Co-ordinator and CORAF/WECARD, the first release of funds can be made. For this to happen the project must draw up a workplan based on the project proposal, which indicates the fund requirement for the first quarter [three months]. Forms 1, 2 and 3 are submitted to CORAF/WECARD Secretariat for checking and approval.

Once the forms have been verified, funds are released to the project for implementation.

After the first release of funds, Forms 2 and 3 indicate the expenditure incurred by the Project. All expenditure must be fully receipted and recorded, and although these are not required when submitting claims for funding, they must be available for audit purposes.

At the end of the third Quarter, an Annual Summary of Finances [Form 4] is completed and returned with Forms 1, 2 and 3. Form 5 is submitted on project completion.

The release of funds depends on the accurate completion of the forms and the successful audit of accounts.

FORMS AND FORMAT

There are five forms used for financial reporting. Of these, one is used at the end of each project year [Form 4] and one is only used at project completion [Form 5].

The format has been kept simple, and it is not necessary to submit vouchers or receipts. These **must** however, be kept with the Project Co-ordinator, or someone nominated by him/her, for inspection by auditors. All the forms have to be signed by the Project Co-ordinator, undertaking that the figures are true and that expenditure has been according to the agreement of the grant.

Maximum rates for chargeable allowances will be set by the STC and be issued with the call for applications to the fund. These should be used by applicants when drawing up budgets and requests for the release of funds.

The total of *contingency* and *overheads* should not exceed 10% of the total budget.

If a project is experiencing financial difficulties, it should contact the CORAF/WECARD Secretariat to review the problems and seek appropriate solutions.

Form 1 [Table 2] is used to present the expected expenditure for the quarter that funds are being applied for. It is based on the agreed workplans and approved budgets for the project.

Table 2 Form 1 - Format for Expected Quarterly Expenditure

Project Reference No:	
Project Title:	

Quarter covered by expenditure			
From:		To:	

Description	Estimated expenditure
Activity 1	
Activity 2	
Activity …n	
Overheads	
Contingency	
Total:	

Form 2 [see Table 3] shows the current status of finances held with the project, and is a summary of money received and expenditure during the previous quarter.

Table 3 Form 2 – Current status of finances for quarter

Project Reference No:	
Project Title:	

Quarter period covered by this summary			
From:		To:	

Description	[1]Balance Forward	[2]Funds received	[3]Expenditure
Activity 1			
Activity 2			
Activity …n			
Overheads			
Contingency			
Total			
[4]Current Balance			

[1] The balance brought forward from the previous Quarter

[2] Funds received from CORAF/WECARD for the Quarter

[3] Actual receipted expenditure incurred

[4] [Balance forward + Funds Received + Other Income] – Expenditure

Form 3 [see Table 4] is where the information on *Form 1* and *Form 2* is brought together, and the amount of funding required for the next quarter is given.

Table 4 Form 3 - Application for next quarter funding

Project Reference No:	
Project Title:	

Quarter period covered by the application for funding			
From:		To:	

Description	Total
1. Balance from previous Quarter [Total from Form 2]	
2. Funds received [Total from Form 2]	
3. Sub-total [Funds available = 1 + 2]	
4. Expenditure Current Quarter [Total from Form 2]	
5. Current Balance [3 - 4]	
6. Estimated expenditure for next Quarter [Total from Form 1]	
7. Net advance due for next Quarter [6 – 5]	

Form 4 [see Table 5] is completed once a year and submitted with the fourth quarter financial report. It is simply a summary of receipts and expenditure for the year.

Form 5 [see Table 6] is filled in only once, at the end of the project period. It is submitted with the final annual and final Quarter financial reports, along with any balance of funds remaining.

FINANCIAL MONITORING

Financial Audits

During the course of the project, the CORAF/WECARD Secretariat arranges an independent financial audit of project's accounts. Advance notice of the audit is given.

All project expenditure records are made available to the auditors. The CORAF/WECARD Secretariat expects all projects to abide by their institutional accounting rules, which must be in accordance with the rules and regulations agreed under the financing arrangement.

The Auditor's report will be made available to participating institutions and organisations on completion of the audit. Any deficiencies noted in the report will be expected to be acted upon promptly.

Table 5 Form 4 – Annual Financial Summary

Project Reference No:	
Project Title:	

Project year covered by this summary			
From:		To:	

Description	[1]Budget	[2]Amount Received	[3]Expenditure	[4]Balance	[5]Note
Activity 1					
Activity 2					
Activity …n					
Overheads					
Contingency					
Total					
Current Balance					

[1] Figure from the approved budget for the project year

[2] Amount received from CORAF/WECARD plus any additional income reported

[3] Expenditure incurred and reported

[4] Amount received [column 2] less expenditure [column 3]

[5] Attach notes on a separate sheet if additional explanation is required

Table 6 Form 5 – Project Completion, financial summary

Project Reference No:	
Project Title:	

Project Period covered by this Project Completion Summary			
From:		To:	

Description	[1]Approved budget	[2]Expenditure	[3]Balance	[4]Note
Project Year 1				
Project Year 2				
Project Year 3				
Total				

[1] The figure from the project budget approved by CORAF/WECARD

[2] Expenditure report on Form 4 for each year

[3] Balance of budget remaining at the end of each year

[4] Indicate note number and attach notes on a separate sheet if additional explanation is required

CHAPTER 7 CORAF/WECARD CROSS-CUTTING ISSUES AND CORE FUNCTIONS

Introduction • CAADP and FAAP • Cross-cutting Issues • Core Functions

Introduction

For each of CORAF/WECARD research programmes, the research constraints, problems and needs are identified in consultation with stakeholders, for each major agro-ecological zone:

- The coastal zone of West Africa,
- The Sahelian zone of West Africa,
- The Central Africa zone.

A participatory study for each zone identifies priority constraints in the value chains for each programme. This study leads to the development of a 5-year action plan [road map] used to develop an annual programme of work and corresponding budget. A 3-day validation workshop of the main stakeholders is organised, which produces a reference document on CORAF/WECARD's programmes, which forms the basis for calls for research.

In addition, there are several key policy documents which influence research and research approaches in CORAF/WECARD and these are summarised below. The *Core Functions* are defined more extensively in the CORAF/WECARD Strategic Plan but are also summarised in this Chapter.

It is **very important** when formulating logframes, PCN, and proposals that not only are the research areas identified in the Call addressed but also that this is done in the context of CORAF/WECARD's Strategic Plan and the CAADP and FAAP documents.

CAADP and FAAP Policy Background

The origins of CAADP

The African Union and New Partnership for Africa's Development [AU-NEPAD] have created CAADP[7], a framework agreement endorsed by African Heads of State and Government. CAADP aims to restore agriculture growth, food security, and rural development in Africa and was published in July 2003[8] after extensive consultations between stakeholders. Its goal is to support agriculture-led development that eliminates hunger, reduces poverty and food insecurity.

What is CAADP?

CAADP has a number of targets and is based on four ***Pillars*** with two major cross-cutting themes of *capacity strengthening* and *information*.

Pillar I *Extending the area under **sustainable land management** and reliable water control systems*

[7] Full information on CAADP can be obtained from the NEPAD-CAADP website: http://www.nepad-caadp.net/

[8] *Comprehensive African Agriculture Development Programme* - New Partnership for Africa's Development, July 2003. ISBN 0-620-30700-5 102pp

Pillar II ***Improving rural infrastructure*** *and trade related capacities for market accesses*

Pillar III *Increasing* ***food supply****, reduce hunger, and improve responses to food emergency crises*

Pillar IV *Improving* ***agriculture research****,* ***technology dissemination and adoption***

Pillar IV is the key Pillar for broad-based, national, sub-regional and regional research systems. It has 2 *objectives* and 8 *indicative improvements*. These are summarised in Box 11 below.

Box 11 Summary of CAADP Targets

CAADP Pillar IV Objectives

- A sustained flow of technologies, which are suitable to the context and adequately meet the challenges of African agriculture
- National agricultural technology systems that are responsive to opportunities and constraints facing farmers

CAADP Pillar IV Indicative Improvements

- Improved capacity of farmer organisations to participate in generation and dissemination of agricultural technologies with more proactive partnering between research and extension;
- Improved efficiency, accountability, and sustainability of national agricultural technology generation and advisory systems - strengthened linkages with regional and international institutions;
- Development of efficient market chains for delivery of agricultural technologies and inputs;
- Increased capacity of national governments to deliver core functions;
- Development of effective regional organisations of producers/technology users, research institutions, technology suppliers and policy makers;
- Enhanced capacity of commodity chain institutions;
- Improved technology development and dissemination;
- Improved access to finance

The importance of CAADP is in the unifying foundation it provides for a range of different organisations and stakeholders who share a common interest in reducing poverty and increasing food security. This is also shown diagrammatically in the figure, since national plans link with those of the sub-region, which in turn tie-in with those on a regional, pan-African scale. This holds true not only in West and Central Africa, but also in the other sub-regions. Such a foundation allows easier communication, greater synergy of effort and a more efficient use of resources.

What is FAAP?

The Forum for Agricultural Research in Africa [FARA], has been given the mandate by AU-NEPAD for ensuring the uptake and implementation of CAADP principles. To do this effectively, FARA has developed the Framework for African

Agricultural Productivity[9] [FAAP] which presents guidelines, principles and best practice for ensuring the targets and indicators of CAADP Pillar IV are reached[10]. FAAP is the tool box for accessing CAADP.

CORAF/WECARD is a member of FARA, and has the sub-regional mandate and responsibility for delivering CAADP using the principles and guidelines of FAAP. In the development of its Strategic and Operational Plans, CORAF/WECARD has relied heavily on the guidance and principles of these two documents and has built its Plans around delivery of **Pillar IV**.

Key issues that are addressed in the FAAP are shown in Box 12, and these should be integrated into proposals prepared for CORAF/WECARD funding.

Box 12 Key FAAP-related issues

1. **Empowerment** of end-users to ensure their relevance;
2. Planned **subsidiarity** to give responsibility and control over resources at the lowest appropriate level of aggregation;
3. **Pluralism** in the delivery of agricultural research, extension, and training services;
4. **Evidence-based approaches** with emphasis on data analysis;
5. **Integration of agricultural research** to respond in a holistic manner to the needs and opportunities for innovation in the sector;
6. Explicit incorporation of **sustainability** criteria;
7. Systematic utilisation of **improved management information systems**;
8. Introduction of **cost sharing** with end users, according to their capacity to pay, to increase their stake in the ;
9. Integration of **gender considerations** at all levels.

Specific Cross-cutting and Core Functions

Under-pinning the CORAF/WECARD *Strategic Plan*[11] and its implementation are five cross-cutting issues. These invariably affect and influence the implementation and direction of agricultural research supported through the CGS and they need to be integrated into responses to Calls for Proposals.

1. Pro-poor

Not all economic growth benefits the poor and often they can be adversely affected. Technologies that have economies of scale can focus on the wealthy and when too little attention is paid to the division of labour and resources, yield or profit enhancing developments can adversely affect the welfare of women and other disadvantaged groups.

CORAF/WECARD supported research will endeavour to ensure that the innovations it promotes are pro-poor or at least scale-neutral, and strengthen the resilience of individuals and households to withstand adverse events.

[9] *Framework for African Agricultural Productivity* – Forum for Agricultural Research in Africa, June 2006. ISBN 4988-0-9034-X 30pp

[10] More information on FAAP can be seen online at: http://www.fara-africa.org/library/tags/FAAP/

[11] *CORAF/WECARD Strategic Plan 2007-2016*. May 2007. CORAF/WECARD, Dakar, Senegal. 49pp

Important measures include employment generation and encouraging microfinance that can reduce vulnerability while contributing to agricultural growth.

Agriculture-related legislation and regulation should ensure that growth promotion does not come with unacceptable increased risk and vulnerability. The promotion of technological change should promote diversification of agriculture in ways that spread risk among different enterprises. Crop and livestock breeding involves trade-offs between yields and vulnerability but, for the poor, care must be taken not to sacrifice too much robustness for higher production potential.

Inappropriate inputs can also increase risks due to the greater investment required that may not be recovered in adverse circumstances. Some such as agro-chemicals may also have health and safety risks. Lessons learnt should be communicated to policy makers for incorporation in *Poverty Reduction Strategy Papers* and other poverty-reducing initiatives.

2. Gender and Age

Women in WCA produce up to 80% of basic foodstuffs for household consumption and for the market. In the livestock sector they perform 50-60% of the work related to feeding and milking larger animals, as well as raising small stock. Rural women provide most of the labour for post-harvest activities, taking responsibility for storage, handling, stocking, processing and marketing.

Beyond the farm, women play a key role in land and water management. Women are most often the collectors of water, firewood and fodder. They have access to a store of local knowledge on the medicinal use of plants; they have been in the forefront of soil conservation programmes.

Given the extensive participation of women in all aspects of agricultural production, the **mainstreaming of gender into the agriculture sector is a key strategy element**, not only for the promotion of equality between men and women but also for sustainable agricultural production.

CORAF/WECARD's strategy for mainstreaming gender into development involves understanding the differing needs and constraints faced by women and men that affect productivity and poverty, and then designing actions so that gender-related barriers to economic growth and poverty alleviation are reduced and the material well-being of men, women, and children is enhanced. Central is the promotion of policies and actions that facilitate equitable access to productive resources by both men and women, as well as integrating gender perspectives in its programmes and activities to ensure benefit by both sexes. Other ways to mainstream gender are:

- Ensuring that women's needs are addressed in the development and dissemination of agricultural technologies and policies;
- Enabling women to fully participate in and benefit from agricultural innovation processes;
- Ensuring women farmers and scientists receive the training they need to be fully competitive in their work;
- Ensuring capacity building for both women and men features gender issues prominently.

Gender inequality is associated with the spread of the HIV/AIDS epidemic and is one of the main determining factors associated with vulnerability to HIV/AIDS. Advancing gender equality should therefore be central to any agricultural response to HIV/AIDS.

3. HIV/AIDS, Malaria and TB

The HIV/AIDS pandemic, endemic malaria and an upsurge in TB have the potential for significantly reducing the likelihood of CORAF/WECARD and its partners making significant contributions towards meeting the Millennium Development Goals. Medical and funeral costs and the loss of productive family members have permanent negative consequences.

In a livelihoods context, there may be significant losses in *financial* capital as well as the irreplaceable loss of *social capital* as children lose their parents and mentors and have to fend for themselves. Women are particularly badly affected by HIV/AIDS because they are more susceptible to infection and they bear most of the burden of care for infected family members. Affected rural households cannot produce sufficient nutritious food, aggravating the impact of the disease. Rural institutions are less able to deliver services and development schemes are left unfinished.

Through the CGS, CORAF/WECARD will ensure that human health issues are treated with both an emergency and a long-term development approach that requires pro-active leadership and a multi-sectoral commitment from Governments and the donor community. Increased awareness of the importance of agriculture in national HIV/AIDS strategies is needed, particularly with respect to the rural poor, given the role of agriculture in food and nutrition security as factors in managing the disease.

The role of agriculture in poverty reduction is crucial to the recovery of disease-affected families and their achievement of self-sufficiency.

4. Environmental Sustainability

The majority of WCA's farmers are smallholders and the natural resources of land they cultivate are often the only physical assets they possess or to which they have access. Food demands from an expanding population can place great strains on what are mostly low-input systems. This leads to the degradation of natural resources in agricultural and pastoral lands, deforestation and expansion into marginal areas affecting critical environmental services such as flood and erosion control, carbon sequestration and water purification. Enhanced climatic variability from global climate change is an additional threat.

Current low-input systems need to be intensified to raise productivity on existing agricultural and pastoral lands and safeguard natural lands and watersheds. These systems are highly diverse with a multitude of cropping systems and practices and strong heterogeneity in farmers' access to resources.

To address this complexity a much more facilitating role for R&D service providers is required, placing emphasis on agro-ecological principles and collective learning rather than on technology prescriptions and transfer. Ecological functions of the agro-ecosystem need to be exploited as much as possible to control pest, diseases and weeds, retain water, and supply nutrients to the crop and enhance the efficiency of external inputs, especially mineral fertilizers. This will save costs, reduce the reliance on external inputs and improve environmental sustainability.

5. Agricultural Innovation System

In WCA, the conventional *pipeline approach* to agricultural research, technology development and dissemination has produced success stories, but its impact has largely remained localised, failing to have sufficient impact on food security, wealth creation and natural resource management. Increasingly, the *innovation system approach* is seen as a viable alternative.

The concept of *innovation* refers to the search for, development, adaptation, imitation and use of technologies, approaches and methodologies that are new to a specific context. An *innovation system* is a network of organizations within an economic framework, that is directly involved in the creation, diffusion and application of knowledge [including that from research], as well as the organizations responsible for the coordination and support of these processes.

Innovation is a combined social and technical *process* involving multiple sources of ideas and technologies. For the process to be successful, many players need to pull in the same direction. Stakeholders, including politicians, market agents, farmers, NGOs, researchers and extension workers, need to understand their mutual challenges and how they can contribute to the solutions which present opportunities for learning. This means engaging in genuine dialogue and looking for situations where joint actions can have significant impact.

Equally important are organizations that provide the infrastructure for innovation. These include Government agencies and departments, patent offices, and private and public funding organizations as well as those engaged in policymaking, or who have coordinating or catalytic roles with direct service providers. Many of those institutions have entrenched ways of working which are directed by rules and mandates from the past. Their adaptation to future requirements is essential if impact on the sub-region's most complex problems is to be achieved.

None of these organisations acts in isolation; each is embedded in a web of interrelationships. In other words, the efficient operation of an innovation system involves not only the activities of its component parts, but also the interaction among them. Such interdependence is important both for producing and exchanging knowledge and using that knowledge. The success of innovations processes is correlated to the extent and openness with which the exchange of knowledge occurs. In practice, however, obstacles often arise that prevent alignment and coordination among institutions. As part of their integration function, innovation systems approaches are working to overcome these institutional obstacles to a truly integrated approach to sub-regional agricultural development.

CHAPTER 8 GUIDELINES FOR EVALUATION OF CONCEPT NOTES AND PROPOSALS

INTRODUCTION • CRITERIA • *PRO FORMA* REPORTING

Introduction

The stages of the procedure are summarised at Figure 2 [page 12].

Submissions are generally made during November and May following advertisements in October and April. The CGS Unit in the Secretariat, under the guidance of the Director Programmes, completes the necessary documentation which includes:

- Assigning a unique reference number to each submission
- Acknowledging receipt of documents
- Informing the Executive Director of progress

At the end of the deadline for submissions, there is a two-step assessment process for the PCN using agreed criteria, explained further below.

Step 1 is a *pre-screening* [see above] which evaluates the administrative and financial eligibility of submissions and is done by the *Management Committee* at the Secretariat.

Step 2 is a technical and scientific evaluation, where the quality is checked by a special *Ad hoc* Committee under the Scientific and Technical Committee of CORAF/WECARD. Only submissions which pass the pre-screening process for eligibility are evaluated at *Step 2*.

Submissions received after the published deadlines are not accepted.

An indicative timetable for the process is shown in Table 7.

Table 7 Indicative Timetable for CGS Cycle

Description of Process	End of Week
1. Call for proposals published	1
2. Development and submission on PCN	5
3. Processing and Pre-screening by Secretariat Management Committee	7
4. Evaluation of PCN by *Ad-hoc* STC	12
5. Preparation of full proposals	18
6. Evaluation of full proposals by *Ad-hoc* STC – including amendments by applicants	24
7. Processing and submission of report to Governing Board	25
8. Approval by Governing Board	27
9. Release of Funds following signing of contractual agreements	32

Step 1 – PCN Eligibility Criteria

The conformity and the eligibility of submissions is checked by the Management Committee[12] of the CORAF/WECARD Executive Secretariat to ensure that key criteria have been met.

Administrative and General Criteria

These criteria check that the Project Concept Note satisfies the following stipulations:

- At least 3 countries and different partners should have made a commitment to the PCN or Proposal
- The PCN addresses at least one of the prioritised areas defined in the particular call
- The PCN complies with the format and content stipulated in this Operating Manual, including [*inter alia*]:
    - A letter of intent/commitment for collaborators;
    - A logical framework;
    - An outline budget;
- The parent institute or organisation of the applicants has submitted an organisational profile [see page 35] and is judged to have the capacity and experience for implementing the proposed work.

Applicants who fail this pre-screening because *organisational profiles* have not been submitted by their parent institute or organisation, are given an opportunity to rectify this if the other criterion are met.

Financial criteria

In addition to the General and Administrative criteria, the *pre-screening* also considers key financial aspects of the PCN including:

- Expenditure is linked to direct costs of research and indirect costs are not more than 10% of the project budget
- That the total budget is within the ceiling specified in the Call for Proposals
- The budget is clearly presented and the amount justified with respect to the scheduled activities in the technical proposal
- The budget indicates the amount requested from CORAF/WECARD and the amount contributed by other partners/stakeholders

Reporting of pre-screening

Based on the deliberations of the Management Committee, the Director of Programmes prepares a *Pre-screening Report* which indicates:

- The number of PCN submitted by programme and activity area
- A synthesis of the conformity and eligibility of the PCN with respect to the eligibility criteria

[12] This is chaired by the Director of Programmes, and has as members, staff of the CORAF/WECARD Executive Secretariat depending on the specificity of the call.

Based on the *Pre-screening Report*, the Executive Director communicates the findings to the applicants and organises an *Ad-hoc* Meeting of the STC, extended to include resource persons to evaluate the PCN.

Step 2 – PCN Scientific and Technical Evaluation

The *Ad-hoc* Committee examines the project proposal agreements based on the agreed criteria. These are listed in Table 8. Scores are entered into the CORAF/WECARD Proposal Evaluation *pro forma,* a sample of which is attached to these guidelines [see Annex 2, page 82]. This provides the applicant with information of the evaluation and shows why a proposal has been successful, requires amendment or has been rejected.

Reporting by the *Ad hoc* Committee of the STC

Reviewers on the *Ad hoc* Committee of the STC state whether the Proposal should be:

- Accepted without modification, indicating why;
- Accepted provided the recommended changes [with reasons] are accepted by the applicant;
- Rejected, indicating the reasons for the rejection.

A written evaluation of the proposal is prepared for the applicant, giving recommendations, where appropriate, which need to be accepted by the applicant before an award can be made.

Table 8 Criteria and weighting for PCN/Proposal evaluation

<table>
<tr><th colspan="2">Criteria, sub-criteria and basis</th><th>Weighting</th></tr>
<tr><th colspan="2">1. Relevance/Pertinence</th><th>15</th></tr>
<tr><td rowspan="4">1.1 General context and rationale</td><td>• Is there good compliance with the problem or constraint identified in the Call?</td><td rowspan="4">10</td></tr>
<tr><td>• Are there clear links to the CORAF/WECARD Strategic Plan?</td></tr>
<tr><td>• Is there clear identification of the demand?</td></tr>
<tr><td>• Are the target groups relevant to CORAF/WECARD priorities?</td></tr>
<tr><td rowspan="2">1.2 General and specific objectives</td><td>• Are the General and Specific Objectives linked to those of CORAF/WECARD?</td><td rowspan="2">5</td></tr>
<tr><td>• Are the General and Specific Objectives realistic?</td></tr>
<tr><th colspan="2">2. Scientific and Technical Quality</th><th>25</th></tr>
<tr><td rowspan="2">2.1 State of knowledge</td><td>• Is there an up to date, relevant literature review?</td><td rowspan="2">4</td></tr>
<tr><td>• Is there evidence of previous knowledge and experience (not necessarily literature)?</td></tr>
<tr><td rowspan="3">2.2 Description of project activities</td><td>• Are the Activities realistic given the Proposal's timeframe?</td><td rowspan="3">6</td></tr>
<tr><td>• Is the distribution of activities amongst partners equitable and/or reasonable?</td></tr>
<tr><td>• Are M&E activities specifically included in the Activities?</td></tr>
<tr><td rowspan="2">2.3 Expected Results</td><td>• Are the stated Results necessary and sufficient to achieve the Specific Objective?</td><td rowspan="3">5</td></tr>
<tr><td>• Are the Results deliverable in the timeframe available for the Proposal?</td></tr>
<tr><td rowspan="2">2.4 Target groups</td><td>• Are the target groups identified in the Proposal realistic/accessible?</td></tr>
<tr><td>• Is the size of the target population sufficient to generate a reasonable impact?</td><td>4</td></tr>
<tr><td rowspan="4">2.5 Methodology</td><td>• Is there clear understanding of the IAR4D approach</td><td rowspan="4">6</td></tr>
<tr><td>• Are the tools which will be used clearly explained?</td></tr>
<tr><td>• Is there evidence of capacity strengthening theme in the methodology?</td></tr>
<tr><td>• Is the mechanism for dissemination, diffusion and/or promotion of results clear and realistic?</td></tr>
</table>

Continued...

Table 8 Criteria and weighting for PCN/Proposal evaluation - continued

3. Potential Impact		**20**
3.1 Social impact	• Creation of employment opportunities • Reduced rural/urban and/or cross-border migration • Empowerment and capacity strengthening of stakeholders • Improvements in food security and nutrition • Reduction of conflict and improvements in social equity	5
3.2 Economic impact	• Improvements in incomes • Creation of, and to, access to markets • Improvements in competitiveness	6
3.3 Environmental impact	• Conservation of water, plant cover and soils • Protection and improvement of the environment • Fight against the effects of pollution	5
3.4 Gender issues	• Involvement with women, youth and vulnerable groups	4
4. Technical Implementation Plan		**10**
4.1 Logframe	• Coherence of the Proposal with the logframe including: o Necessary and sufficient aspects of Activities, Results, Indicators and Assumptions o Appropriateness of Means of Verification	7
4.2 Chronogram (Gantt chart)	• Deliverable, realistic • Flexibility for problems, delays and setbacks	3
5. Implementation Team		**20**
5.1 Professional and technical experience and competence	• Background and scope of team's training and qualifications • Interdisciplinary nature of the Team • Project management record • Relevance for implementation of activities • Relevance for dissemination of results • Gender balance	10
5.2 Publication in project area	• List of publications and multi-media events attributable to Team members	2
5.3 Partnership	• Partnerships in line with IAR4D principles [non-redundancy, synergy, gender balance] • Number and diversity of partners and countries • Commitment of time and resources to the project	8

Continued...

Table 8 Criteria and weighting for PCN/Proposal evaluation - continued

6. Budget/Budget		**10**
6.1 Contribution of partners	• Partner contributions in kind, but quantified [human resources, utilities, logistics, telephone, equipment, vehicles]	4
	• Any co-financing [budget allocations]	
6.2 Use of funds requested from CORAF/ WECARD	• Appropriate distribution across activities	6
	• Appropriate distribution across partners	
	• Reasonable explanation for use of budget	
	• Allocations for training or capacity building	

Reviewers view the level of detail in a PCN sympathetically, and if the concept is good, but lacks some detail, a recommendation is made in the following format:

- *The applicant should ensure that the full proposal contains complete details of the following areas…* [list specific areas of concern, such as methodology, beneficiaries, uptake, documentation and so on].

In approving a PCN with *minor amendments*, it is important that recommendations are for just small changes. Changes in the title, for example, to make it more appropriate, would be considered minor amendments as would a note recommending that the proposal should include fuller details of *inter alia* things such as documentation, methodology and stakeholder identification.

Changes in the basic design or approach would not be considered minor, nor would issues associated with the technical feasibility [see below]. Any major changes that are required should result in rejection of the proposal.

The avoidance of research duplication is the responsibility of the review process. The STC has an important role, and if in doubt can call upon additional experts to verify or check potential duplication.

Technical feasibility is a key part of the assessment of the methodology, and as with the issue of timeframe for a proposal, if the reviewer considers the work is not technically feasible, then they can reject it. It is however still important to give a full justification for the applicant.

The timetable for the whole process of applying for funding takes between 7 and 9 months from first advertisement to release of funds/implementation [see Table 7, page 68]. This is a long time, and any one of the steps can cause delays. It is essential that the peer review process does not.

The evaluation of PCNs and proposals uses the same criteria [see below] but is **more rigorous** for proposal review. A high standard of presentation is expected of applicants.

Interpretation of criteria

It is important that reviewers keep in mind the aims and objectives, as described in the CORAF/WECARD Strategic and Operational Plans, when reviewing both PCN and full proposals.

If reviewers consider one or more of the criteria below is *neutral*, they should indicate this on the score sheet, with reasons, and mark the score box as N/A [not applicable]. The summary score should be recalculated as a percentage to take into account the reduced total.

It is important that reviewers judge a PCN based on the criteria and what is written in it. They should not allocate a score or make an evaluation based on their own assumptions about the PCN, or what is **not** written.

Assessment of the logframe

There is no specific scope for scoring the logical framework. The reason for its inclusion with the PCN is so that the reviewer can judge the logical flow of what is being proposed in a summary form, and decide whether the PCN has been developed on the basis of the framework.

If there is no clear link between the framework and the PCN, or if the logic of the framework is flawed, then this should be reflected in the comments and score of the reviewer. Careful note should be made of the links between *Activities* and *Results*, to ensure that the relationship is a strong one.

Cost effectiveness and budgets

The cost-effectiveness of the PCN, and the appropriateness of the *Activity*-based budgets, should be judged based on the reviewer's experience of the subject and the proposed activities. The reviewer should highlight any inconsistencies or serious omissions, and make the appropriate recommendations in the space provided.

Where an organisation applying to CORAF/WECARD is liable to government tax[es], these should be included in the budgets, with a note drawing attention to the fact. It remains the responsibility of the organisation to meet its liabilities.

The variation between the budget proposed in a PCN and that given in a full proposal, should not be more than 15%. This will apply when evaluating full proposals and has no relevance to the evaluation of a PCN.

The Director of Programmes prepares the minutes of the Meeting and submits it for signature to members of the ad-hoc committee.

The Chairperson of the STC and the Director of Programmes prepares the PCN Technical Agreement document comprising:

- The minutes of the proposals evaluation meeting;
- The analytical report of PCN

The organisations with PCN that have been approved by the STC are then invited to submit full proposals according to the same criteria and using the format shown in Chapter 4 [page 38]. However the invitation to submit a full project proposal does **not** guarantee that the proposal will be accepted.

Support to proposal writing

Applicants who have been successful at the PCN stage may be eligible for grants to support the preparation of full proposals, and in certain circumstances, training may be made available in proposal writing to support final development.

Details of such support will be made available at the time of the *Call for Proposals*.

Project Proposal Evaluation

Reporting and processing of Proposal evaluation

As for the PCN, the Director of Programmes prepares the minutes of the Meeting and submits it for signature to members of the ad-hoc committee.

The Chairperson of the STC and the Director of Programmes prepare the *Proposal Technical Agreement* document comprising:

- The minutes of the proposals evaluation meeting;
- The analytical report of Proposals

The Executive Director transmits the *Proposal Technical Agreement* to the CORAF/WECARD Governing Board for adoption. The adoption of the proposals is done during Governing Board's statutory ordinary sessions.

Once adopted by the Board, the Executive Director informs successful and unsuccessful applicants using the evaluation *pro forma* [see Annex 2].

Contractual and Implementation Procedures

All research projects must have signed contracts and only organisations which have been approved by CORAF/WECARD may enter contractual agreements.

These procedures ensure that research contracts are in conformity with CORAF/WECARD Statutes and Governance Manuals, and apply to all contracts signed to enable implementation of competitively funded projects.

Contract preparation

A model contract is used which has been adopted according to the conditions that are in the approved project proposal.

The model contract contains the following elements:

- Objective of the contract;
- Starting date of the contract;
- Obligations of the two parties;
- Conflict resolution clauses;
- Guaranties where they exist;

Contract Verification and Signing

The Director of Programmes [for scientific and financial aspects] and the Director of Administration and Finances [for legal, administrative and financial issues] verify the conformity and coherence of the contract with the project proposal and then sign the contracts confirming they have verified the contents.

The Executive Director signs three copies of the contract after it has been verified. These are distributed:

- One for the institution
- Two for CORAF/WECARD

ANNEXES TO MANUAL

Annex 1 Logframe Example

The following is an example of a logframe document for a US$ 7.15 million project over 5 years, to improve the competitiveness of horticultural products in the sub-region. This is a hypothetical project, and the logframe has been developed for illustrative purposes only.

Narrative Summary	Objectively verifiable Indicators	Means of Verification	Assumptions
General Objective Contribution of horticulture to agricultural growth in target area increased	1. Contribution of horticultural export crops to agricultural GDP increases by at least 6% annually by 2014 2. At least 50% of horticultural exporters show a minimum of 15% increase in volume of exports by 2014	• Reports of National agricultural statistics offices • Annual reports of export crop associations – national and sub-regional • Company reports from private sector	Not applicable
Specific Objective Competitiveness of horticultural sector in target area improved	1. At least 45% of horticultural produce in target area meeting minimum standards set by 2014 2. At least a 15% increase in demand for priority export crops from outside the target area by 2014	• Reports of National agricultural statistics offices • Annual reports of export crop associations • Reports of national growers' and farmers' associations	*Specific* to *General Objective* 1. Adequate political stability and commitment exists and is maintained at the appropriate level of government 2. Macro-economic environment is supportive of benefits gained 3. Appropriate national, sub-regional and international trade policy and agreements are supportive 4. Appropriate levels/quality of public and private sector governance exist 5. Adequate levels of industrial growth exist to support benefits gained 6. Morbidity and mortality due to HIV/AIDS, TB and malaria to not adversely affect gains or benefits

Narrative Summary	Objectively Verifiable Indicators[13]	Means of Verification	Assumptions
Results 1. Technologies to improve horticultural product quality developed and promoted 2. Quality standards for horticultural produce established 3. Capacity for quality assurance of horticultural products strengthened	1.1 Improved storage and transportation systems developed for top 3 priority export crops in target area by 2014 1.2 At least 25% reduction in *post*-harvest losses for top 3 priority export crops by 2014 1.3 Improved systems available to at least 60% of producers in target area by 2014 2.1 Export standards for 3 top priority horticultural crops agreed between at least 4 of the countries in target area by 2014 2.2 At least 3 recipients of exports from target region accept standards of target countries by 2014 3.1 National Standards Laboratories [NSL] in at least 4 target countries equipped and supporting horticultural export crops by 2014 3.2 Postgraduate training for scientific and technical staff in National Standards Laboratories of at least 4 target countries successfully completed by 2014 3.3 At least a 40% increase in volume of priority crops certified fit for export by 2014	• Annual and other internal reports of Project • National agricultural statistics bureau reports in target countries • Parliamentary reports • Annual and other internal reports of NSL • Annual and other internal reports of national agricultural research institutes	*Result to Specific Objective* 1. Adequate political and economic stability and commitment exists and is maintained at the appropriate level of government 2. Adequate incentive packages at macro-economic level 3. Agro-inputs are available and affordable for farmers 4. Soil and water management is developed to appropriate levels on a national basis 5. Farmer mechanisation and food production infrastructure exists at appropriate levels 6. Existing, supportive polices and laws for market development and agricultural growth are enforced or implemented 7. Morbidity and mortality due to HIV/AIDS, TB and malaria to not adversely affect gains or benefits

[13] Baseline data will be collected as part of Activities, where appropriate, otherwise available data for 2011 will be used.

<table>
<tr><th>Narrative Summary</th><th>Budgets and Inputs</th><th>Assumptions</th></tr>
<tr>
<td>Activities
1.1 Constraints and problem analysis
1.2 Establishment of innovation platform and intervention options
1.3 Implementation through participatory research with stakeholders
1.4 Development of outreach and upscaling strategy
1.5 Implementation of multi-media events

2.1 Review of existing standards and legislation
2.2 Needs analysis and strategy development
2.3 Development of innovation platform and intervention options
2.4 Development of standards
2.5 Advocacy and education programme development and implementation</td>
<td>Inputs: Technical training awards, inservice courses, laboratory equipment, vehicles, communications material, logistical support, mentoring and advocacy support

Budget [US$ ‘000]:

<table>
<tr><th>Description</th><th>2010</th><th>2011</th><th>2012</th><th>2013</th><th>2014</th><th>Total</th></tr>
<tr><td>Training [4 PhD, 15 MSc, 15 diploma]</td><td>270</td><td>370</td><td>370</td><td>80</td><td>20</td><td>1,110</td></tr>
<tr><td>Equipment</td><td>500</td><td>350</td><td>200</td><td>100</td><td>0</td><td>1,150</td></tr>
<tr><td>Vehicles</td><td>200</td><td>100</td><td>0</td><td>0</td><td>0</td><td>300</td></tr>
<tr><td>Technical support/mentoring</td><td>500</td><td>400</td><td>300</td><td>200</td><td>100</td><td>1,500</td></tr>
<tr><td>Operating costs</td><td>500</td><td>600</td><td>600</td><td>750</td><td>350</td><td>2,800</td></tr>
<tr><td>Monitoring & evaluation</td><td>100</td><td>100</td><td>200</td><td>100</td><td>250</td><td>750</td></tr>
<tr><td>Overheads @10%</td><td>180</td><td>155</td><td>130</td><td>115</td><td>70</td><td>650</td></tr>
<tr><td>Totals</td><td>1,980</td><td>1,705</td><td>1,430</td><td>1,265</td><td>770</td><td>7,150</td></tr>
</table></td>
<td>Activity to Result
1. Adequate political stability and commitment exists and is maintained at the appropriate level of government
2. Access and levels of funding for research, training and extension organisations is maintained at levels which facilitate operation
3. Public infrastructure along the value chain exists and is maintained at appropriate levels

Continued...</td>
</tr>
</table>

Narrative Summary	Budgets and Inputs	Assumptions
3.1 HR training and equipment needs assessment 3.2 Infrastructure assessment 3.3 Network/partnership development 3.4 Intervention strategy development and implementation 3.5 Public awareness campaign development and implementation	As above	Continued... 4. Governance in the service provider sub-sector is at adequate levels 5. Morbidity and mortality due to HIV/AIDS, TB and malaria to not adversely affect gains or benefits

CONFIDENTIAL not for applicant

CORAF/WECARD Reference No:	

Annex 2 Evaluation *Pro Forma* for CORAF/WECARD Evaluation

Accepted without modification	
Accepted with minor amendments	
Rejected	

Please indicate the reason[s] for this recommendation. **THE INFORMATION WILL NOT BE PASSED TO THE APPLICANT.** Recommendations for the applicant should be given on the appropriate sheet.

Summary of Evaluation Score

1. Relevance	**15**	**Score**
1.1 General context and rationale	10	
1.2 General and specific objectives	5	
2. Scientific and Technical Quality	**25**	
2.1 State of knowledge	4	
2.2 Description of project activities	6	
2.3 Expected Results	5	
2.4 Target groups	4	
2.5 Methodology	6	
3. Potential Impact	**20**	
3.1 Social impact	5	
3.2 Economic impact	6	
3.3 Environmental impact	5	
3.4 Gender issues	4	

Continued...

CORAF/WECARD Reference No:	

CORAF/WECARD Reference No:	

Evaluation continued

4. Technical Implementation Plan	**10**	
4.1 Logframe	7	
4.2 Chronogram [Gantt chart]	3	
5. Implementation Team	**20**	
5.1 Professional and technical experience and competence	10	
5.2 Publication in the project area	2	
5.3 Partnership	8	
6. Budget/Budget	**10**	
6.1 Contribution of partners	4	
6.2 Use of funds requested from CORAF/WECARD	6	
TOTAL	**100**	

Detailed Evaluation

1. Is the application relevant to the Call?		
Comment:		15
2. What of the scientific and technical quality?		
Comment:		25
3. What of the potential impact of the application?		
Comment:		20
4. How effective are the technical implementation plan and logframe?		
Comment:		10
5. What of the quality of the implementation team?		
Comment:		20
6. FHow is the budget and financial arrangement?		
Comment		10
Total		100

CORAF/WECARD Reference No:	

Project Title:	

Your project proposal with the above title and submitted to the CORAF/WECARD, has been reviewed by a specialist peer reviewer and accepted with minor amendments. You have until the date in the letter attached to this form, to confirm in writing to the CORAF/WECARD Secretariat that you accept the recommendations of the reviewers.

Failure to meet the deadline will result in it being excluded from further consideration for this round of funding.

Recommendations: