

**REGIONAL OPERATIONAL MANUAL  
OF THE  
AFRICA HIGHER EDUCATION CENTERS OF  
EXCELLENCE**

**PHASE I WEST AND CENTRAL AFRICA**

**APRIL, 2015**

**Contents**

<b>I.</b>	<b>THE PURPOSE AND SCOPE OF THE OPERATIONS MANUAL .....</b>	
		4
<b>II.</b>	<b>PROPOSED DEVELOPMENT OBJECTIVES .....</b>	5
A.	The Project Development Objectives:.....	5
B.	Project Beneficiaries .....	5
C.	Key Indicators: .....	5

<b>III. DETAILED DESCRIPTION OF COMPONENTS</b> .....	6
a) Component 1: Strengthening Africa Centers of Excellence .....	6
The Competitive Selection Process .....	<b>Error! Bookmark not defined.</b>
b) Component 2: Enhancing Regional Capacity, Evaluation and Collaboration .....	11
<b>IV. INSTITUTIONAL FRAMEWORK FOR THE OPERATION OF THE ACE PROJECT</b> .....	
14 a) Key Roles and Responsibilities at the national level .....	15
b) Key Roles and Responsibilities at the regional level .....	15
Regional ACE Steering Committee .....	15
Regional Facilitation Unit .....	15
Regional Coordination and Facilitation .....	16
The Goal of the RFU .....	16
The Role of the RFU .....	16
The ACES .....	17
<b>V. MONITORING AND EVALUATION ARRANGEMENTS</b> .....	22
a) Purpose and Objective .....	23
b) Scope of M&E Arrangements .....	23
c) Preparations for Monitoring and Evaluation.....	23
d) Key Performance Indicators and Targets .....	24
e) Roles and Responsibilities .....	25
f) Reporting.....	25
<b>VI. PROJECT FINANCING</b> .....	52
<b>FINANCIAL MANAGEMENT AND DISBURSEMENT</b>	
<b>ANNEX 1a: Terms of Reference for ACE Steering Committee (SC)</b> .....	71
<b>ANNEX 1b: Terms of Reference of National Review Committee</b> .....	76
<b>ANNEX 2: Regional Facilitation Unit-Terms of Reference</b> .....	79

**ANNEX 3: Partnership Agreement Template ..... 82**  
**ANNEX 4: Guidelines for Academic Partnerships ..... 92**  
**ANNEX 5: Independent Evaluation Committee Protocol for the Assessment of ACE  
Proposal Submissions ..... 99**  
**ANNEX 6: Data Verification Terms of Reference ..... 116**  
**ANNEX 7: ACE Implementation Plan Template ..... 123**  
**ANNEX 8: Indicator Tracking Table ..... 125**

# **I. THE PURPOSE AND SCOPE OF THE OPERATIONS MANUAL**

1. The Operations Manual of the ACE Project is expected to serve as a comprehensive guide and reference for the ACE Project staff, ACE proposal evaluators, selected centres of excellence, national focal points, PSC members, government officials and other higher education stakeholders in understanding what the ACE Project is all about, as well as the implementation thereof. The OM contains all essential information for the user to make full use in the implementation of the ACE Project. To this end the manual addresses the key characteristics of the ACE Project; the institutional framework for the operation of the ACE Project; and the ACE Project implementation and operational procedures.
2. The “Project Regional Operations Manual” is defined as the manual to be endorsed by the Recipient as referred to in Financing Agreements between the eight Receptiants and the World Bank, for the implementation of the Project, including, inter alia: (i) the terms of reference, functions and responsibilities for the members or the personel of the Regional Steering Committee, the National Review Committee and the Implementation Team; (ii) the procedures for procurement of goods, works, non-consulting services, consultants’ services, Operational Costs, and Training, as well as for financial management and audits under the Project; (iii) the indicators to be used in the monitoring and evaluation of the Project; (iv) the criteria, detailed rules and procedures for the EEPs; (v) the terms of reference for the Independent Verifiers, the detailed content of the EEP Spending Report, the customized statements of expenditures, the interim financial reports, the Procurement Plan Report and the Project Reports; (vi) flow and disbursement arrangements of Project funds; and (vii) the Disbursement-Linked Indicators; as said manual may be amended from time to time with the Association’s prior approval.

## **II. PROPOSED DEVELOPMENT OBJECTIVES**

### **A. The Project Development Objectives:**

3. The Project Development Objective (PDO) is to support the Recipients to promote regional specialization among participating universities in areas that address regional challenges and strengthen the capacities of these universities to deliver quality training and applied research.
4. The higher order objective is to meet the labor market demands for skills within specific areas where there are skill shortages affecting development outcomes and economic growth. Further, the project will, on a demand basis, invest in well performing universities that can start building a foundation for Africa to increase knowledge and technology absorption, and build knowledge-based competitive advantages.

### **B. Project Beneficiaries**

5. The IDA credit beneficiaries are:
  - i. Students in supported institutions and their partner institutions from across West and Central Africa who will benefit from quality research-based education in high demand areas;
  - ii. Companies, governmental and non-governmental organizations that partner with the Africa Centers of Excellence (ACEs) that will gain from more interns and graduates who are trained in more relevant areas and from more relevant applied research to their business;
  - iii. Faculty and staff in the ACE who benefit from improved teaching and research conditions; and
  - iv. Faculty and students in regional partner institutions who benefit from improved capacity of the ACE.

### **C. Key Indicators:**

The proposed operation will have indicators for each of the program components, with its targets tailored to each aspiring Africa Center of Excellence (ACE). The following PDO indicators will measure progress towards achieving the PDO:

- i. Number of national and regional students enrolled in new specialized short-term courses, and Master and PhD programs (measures strengthened capacities)
- ii. Number of regional students enrolled in new specialized short-term courses, and Master and PhD programs (Regional aspect)
- iii. Number of internationally accredited education programs (Training quality)
- iv. Number of students and faculty with at least 1 month internship in companies or institutions relevant to their field (Training quality and addressing challenges)
- v. Amount of externally generated revenue by the ACEs (Training and research quality)

### III. DETAILED DESCRIPTION OF COMPONENTS

6. **The project consists of two components.** Component 1 will aim to strengthen the capacity of 19 competitively selected institutions to strengthen or establish ACEs. These ACEs will deliver regional, demanded, quality training and applied research in partnerships with regional and international academic institutions and in partnership with relevant employers and industry. Component 2 consists of regional activities to build capacity, support project implementation, monitor and evaluate, and develop regional policies. Further, component 2 will, in a novel and demand-driven way, boost regional collaboration by supporting The Gambia in strengthening its higher education institutions through education services purchased from the ACEs strengthened under Component 1.

a) **Component 1: Strengthening Africa Centers of Excellence**

7. Component 1 will strengthen 19 Centers of Excellence in selected higher education institutions to produce highly skilled graduates and applied research to help address specific regional development challenges. Centers of Excellence draw on specialized departments and faculty in higher education institutions (universities) in West and Central African countries in disciplines related to STEM, Agriculture and Health. The number of ACEs per country and sector supported and strengthened under this component is shown in Table 2. The maximum grant amount awarded to each Centre of Excellence is US\$ 8 million.

Table 2: Africa Centers of Excellence by country, field and development challenge

Africa Center of Excellence  Title	Lead Institution & Country	Discipline
ACE for Agricultural Development and Sustainable Environment	Federal University of Agriculture, Nigeria	Agriculture
ACE for training plant breeders, seed scientists and technologists	University of Ghana, Ghana	Agriculture
ACE in the Poultry sciences	University of Lome, Togo	Agriculture
ACE in Dryland Agriculture	Bayero University, Nigeria	Agriculture
ACE for Food Technology and Research	Benue State University, Nigeria	Agriculture
ACE for Genomics of Infectious Diseases	Redeemers University, Nigeria	Health
ACE for Cell Biology of Infectious Pathogens	University of Ghana, Ghana	Health

ACE on Neglected Tropical Diseases and Forensic Biotechnology	Ahmadu Bello University, Nigeria	Health
ACE in Phytomedicine Research and Development	University of Jos, Nigeria	Health
ACE in Reproductive Health and Innovation	University of Benin, Nigeria	Health
ACE in Maternal and infant Health	Université Cheikh Anta Diop, Senegal	Health
ACE in Materials	African University of Science and Technology, Nigeria	STEM
ACE in applied mathematics	Université d'Abomey – Calavi, Bénin	STEM
ACE in Information and Communication Technologies	Université de Yaoundé I, Cameroon	STEM
ACE in the education and research with Water, energy, and environment sciences and technologies	Institut International d'Ingénierie de l'Eau et de l'Environnement (2iE)	STEM/ Agriculture
ACE for Oil Field Chemicals	University of Port Harcourt, Nigeria	STEM
ACE for Water and Environmental Sanitation	Kwame Nkrumah University of Science and Technology, Ghana	STEM
ACE in Science, Technology and Knowledge	Obafemi Awolowo University, Nigeria	STEM
ACE in Mathematics, Informatics, and ICT	University of Gaston Berger, Senegal	STEM

1. The beneficiary institutions were selected through an open, rigorous, transparent and merit-based selection process. The selection process entailed the following main steps: (i) call for proposals to institutions; (ii) submission of Center of Excellence proposals through their respective governments to the regional facilitation unit (52 proposals were submitted); and (iii) a systematic and detailed evaluation of proposals by 35 independent African and international experts according to pre-defined criteria. The evaluation consisted of three different and discrete sets of assessments. The universities that submitted the 31 proposals that met the required level of education and academic quality, as assessed by three independent academic experts, were further assessed through an on-site leadership evaluation and a fiduciary assessment. Each shortlisted proposal was reviewed and scored by at least seven independent evaluators; (iv) as a last step, the regional ACE SC selected 15 proposals by first selecting the highest evaluated proposal from each country that submitted proposals, and, second, the highest evaluated proposals within each of the three disciplines (up to a maximum of four proposals) were selected for each discipline, and finally, out of the remaining proposals, the three highest evaluated proposals were irrespective of country and discipline were selected. The selection mechanism sought to ensure a reasonably equitable distribution across countries, language groups and disciplines.
2. The detailed Evaluation Protocol outlining the above is attached as part of the manual in Annex 5.

### Detailed description of ACE activities

3. **Each selected institutions will implement their own Africa Centre of Excellence proposal aiming to help address a specific regional development challenge through preparation of professionals (education), applied research and associated outreach activities to partners.** Within that, institutions will have autonomy to implement their own institutional specific proposal which encompasses the following five elements:

- (i) Enhance capacity to deliver *regional high quality training* to address the development challenge.
- (ii) Enhance capacity to deliver *applied research* to address the regional development challenge.
- (iii) *Build and use industry/sector partnerships* to enhance impact of the Center on development and increase relevance of the centers education and research.
- (iv) *Build and strengthen regional and international academic partnerships* to raise quality of education in other institutions in the region.
- (v) *Enhance governance and management* to improve monitoring and evaluation, administration, fiduciary management, transparency, ability to generate resources, and project implementation.

These five sets of project activities are closely intertwined. For instance, industry partnership and academic partnership are necessary inputs into enhanced capacity to deliver high quality training, and on the other hand, high quality training is a key factor in successful industry and academic partnerships. The following discusses activities related to each of the 5 set of priorities in greater detail:

#### **Enhance capacity to deliver regional high-quality training**

4. **These activities aim to raise the capacity of the Africa Center of Excellence to form a cadre of professionals with cutting-edge conceptual and hands-on competences to address the development challenge of the center.** The three key indicators for measuring progress towards achieving the goal of delivering regional high quality training will be: (i) Number of regional and national students enrolled in short-term specialized courses and in bachelor, master and PhD degree programs; and (ii) Number of education programs under the Center of Excellence that meet international quality benchmarks; and (iii) externally generated revenue.

5. **This will be achieved by implementation of the institutional plan, designed by the institution and reviewed by external experts, to develop and strengthen academic programs in the ACEs.** The plan consists of an institutional specific mix of the following activities: (i) developing and offering new specialized short-term education programs aimed at industry professionals for further development; (ii) developing and offering of new specialized Master and PhD level programs; increasing quality and relevance of existing teaching through revision of curricula and teaching-methods based upon industry professional standards; incentivize faculty for good performance, including incentives for research and awards for top teaching. Only non-monetary incentives to faculty to achieve the objective of the proposal can be funded by the ACE grant. The project does not restrict the use of other generated revenue; (iii) improvement of laboratories, classrooms, computers, and other teaching facilities through equipment purchases and limited civil works. Civil works will be limited to 25 percent of the



expected costs of the ACE, and should only finance rehabilitation of building and minor extensions of building; (iv) establishing international benchmarking and accreditation of education programs; (v) teaching-learning improvement Programs to upgrade teaching capacity and provide cutting-edge student-centered teaching; and (vi) upgrade faculty qualifications. Institutions are not constrained by the above list of suggestive activities. Other activities could be permissible for funding as laid out by the Project Regional Operations Manual. Lastly, activities under the other four elements of the proposal, research, industry/sector partnerships, academic partnerships, and governance and administrative strengthening, will equally contribute to strengthening of the Centers' educational capacity.

#### **Enhance Capacity to produce and communicate applied research at the regional level**

6. These activities aim to raise the capacity of the Africa Centers of Excellence to conduct industry-relevant applied research. The key indicator for measuring progress towards achieving the related result "Improved Research Capacity" will be: (i) Number of published research outputs and (ii) generation of revenue.

7. This will be achieved by carrying out an institutional specific mix of the following activities: (i) Purchase and improvement of research facilities and research material; (ii) Incentivize research and publications (non-monetary incentives as discussed above); (iii) increase in Master and PhD students, including potential award of scholarships, if necessary, to attract young talent. The project strongly encourages Africa Centers of Excellence to prioritize any scholarships for degree courses to young graduates over mid-career faculty members; (iv) assistance in grant proposal writing and publication preparations, such as in translation and editorial support; (v) participating in, and organizing of, conferences and seminars for presentation of research; (vi) faculty exchanges with other research institutions, (vii) access to resource material, include library material and access to e-journals; (viii) costs associated with research collaboration; and (ix) minor civil works to improve research facilities.

#### **Regional and international academic partnerships**

8. Academic Partnerships serve to make the Center of Excellence a nodal point that connects globally and disseminates regionally in West and Central Africa. The ACE proposals have identified a record number of academic partners at the regional and international level. The focus on strengthening such partnerships under this component will serve three main objectives: (i) increasing the capacity of partner institutions in the region to deliver quality education and conduct research; (ii) raising the centers' educational and research capacity through drawing upon partnership with internationally leading institutions within the same domain, and (iii) built upon the strengthens of national and regional institutions –sharing of unique physical and faculty resource- to create synergies and thereby raise quality of education and research.

9. The key indicators for measuring progress towards achieving the related result 'Increased National and Regional Impact through institutional collaboration at the regional level' will be as follows: (i) Share of regional (non-national) students enrolled in ACEs and regional faculty, and (ii) regional research publications. Further, intermediate indicators will measure different aspects of the partnership agreements.

10. The ACEs have partnered with institutions that have or need capacity to produce skills to address a particular development challenge. This includes similar international academic centers globally, universities in the region, and national and regional research institutions. In particular, collaboration with regional research institutions is critical

within agriculture and health where substantial academic capacity is located outside universities in sector-specific research institution. The partnerships can be continuation of on-going partnerships and/or new partnerships.

11. The academic partnership activities include: Collaboration in delivery of education programs, faculty development programs for regional faculty, joint conferences, joint research, sharing access to specialized research, learning equipment and library resources (giving students and faculty exposure to different learning environment and equipment), student and faculty exchange, joint organization of specific courses for example at the post-graduate level.
12. Selected institutions will continue to revise and update the academic partnership action plan following the evaluation comments, including consideration of new partners. An academic partnership agreement is being developed by the Centers of Excellence in close collaboration with its partners, and co-signed by all major partners. This agreement will form part of the performance and funding contract to be signed with the Government. The academic partnership action plan will be reviewed and revised at mid-term. **Build and use regional and national industry partnerships**
13. The key objective of these activities will be twofold: (i) provide skills and knowledge to address the development challenge (putting higher education to work) and (ii) benefit the Center through improved relevance of the Center's teaching-learning and applied research. The key indicators for measuring progress towards achieving the related result are: (i) Number of Students and Faculty with at least 1 month collaboration/internship in a company or a sector institution; (ii) externally generated revenue.
14. These objectives will be reached through partnering with industry institutions, including companies and service delivery institutions that work to address the development challenge that the Center is focused on. In this context industry thus should be interpreted broadly to include institutions that work in the economic sector of the challenge, including for example public teaching hospitals for health and farmer associations for agriculture, and not just private companies, such as manufacturing or mining companies. Also, these partnerships are both national and/or regional in nature. Partnerships with key national and regional industry associations or other important players are a strong indication of the potential relevance and impact of the Center of Excellence. In some ACEs, Industry partnerships are also with "lowerlevel" industry/sector-specific training institutions, such as institutions that provide technicians education, midwifery education, or farmers' extension service training.
15. Each institution will implement the action plan for industry partnerships (as designed in its proposal and subsequent revisions), one that is tailored to its specific development challenge, its existing industry partnerships, and new opportunities for partnerships. These activities could be a combination of: (i) industry-lectures; (ii) master and PhD thesis based upon industrial research with companies; (iii) advisory boards, (iv) placement of students and fairs; industry-outreach cell to promote industry partnerships and liaise with industry. These industry partnership activities are closely linked with the education and research activities, in the sense that the partnerships activities could include training of industry professionals, for example training-the-trainers programs, and joint research. The main industry partnerships will be defined in MoUs at the onset, and the plans will be updated at mid-term review.

***Improving governance and administration of the institution and the ACEs***

16. The key indicator for measuring progress towards achieving the related result 'Improved Governance of ACEs' are: Improved institutional monitoring of fiduciary responsibility, notably, functioning internal audit unit and a functioning audit committee in the Board of the Institution, timely unqualified audits, and procurement verification and progress reporting. Further, regularity and transparency of decision making and planning are two intermediate indicators.

17. Activities to achieve strengthening governance and administrative capacity of the institution may include the following elements: (i) implementation of new and/or improved grants management, procurement, and monitoring procedures; (ii) hiring or training of existing personnel for identifying grants opportunities, management, procurement, and monitoring; (iii) hiring and training for fund raising; (iv) improving board procedures – having regular meetings, strengthening the audit committee of the board, review board membership to include external members such as private sector representatives, and openly disclose board meeting minutes for greater transparency; (v) establishing internal evaluation procedures towards quality control; (vi) supporting reporting on lessons-learning in implementing the programs and making these available to regional bodies aggregating this information and partners.

### **Performance and Funding Contract and related financing parameters**

18. Each selected institution will sign a performance and funding contract with the government which states the following grant is subject to a few financial parameters: (i) At least 15 percent of the funding must be invested in the partnerships under a related partnership agreement(s), (ii) at least 10 percent must be invested in partnerships activities with regional (non-national) African partners; (iii) civil works will be limited to 25 percent of the grant; (iv) the project cannot finance monetary incentives of faculty, administrative personnel or public employees, and (v) purchases of vehicles must be explicitly included in the approved annual workplan in order to be eligible. The funding and performance agreement will also include the government's indicative planned funding of institutional staff during the project.

19. At mid-term, expected to be two years after signing the performance contract, there will be a thorough evaluation of performance. The grant amount to each ACE and its usage will be reviewed, and can be adjusted. In particular, it is expected that ACEs that are behind in implementation will see their grant be reduced by 50% of the uncommitted amount that is above half of their grant. Three years after signing, it is planned that half (50%) of the remaining undisbursed institutional grant will be removed. The additional funding would be made available to the institutions performing well or new shorter institutional grants. These gradual and automatic reductions in grant amounts seek to reduce the risk of large committed funds to institutions that are slower in achieving results and implementation.

### **b) Component 2: Enhancing Regional Capacity, Evaluation and Collaboration**

20. This component will focus on the regional specialization, overall project coordination and facilitation, including ensuring coordination between the ACEs, joint lessons learning, and ensuring measurement of, and reporting of, aggregated results. This Component will also focus on supporting the government of The Gambia to strengthen its higher education institutions using the ACEs and increase talent mobility from The Gambia to the ACEs.

21. **Component 2.1 Enhancing Regional Capacity and Evaluation** – (Total costs, including contingencies - US\$5.0 million). This sub-component will be financed through a Regional IDA Grant to the Association of African Universities (AAU). The AAU will support:

(i) capacity building, knowledge sharing and coordination between the ACEs, for example through joint lessons learning as well as implementation of a communications plan; (ii) undertake regional monitoring and evaluation (M&E) activities to improve and assess the performance of the selected institutions. This includes tracer studies, technical audits, collection of academic data, and topic-wise evaluations; (iii) technical assistance to regional bodies, including ECOWAS and WAEMU to support regional policy making on regional higher education science and technology agenda; and (iv) activities required for regional project facilitation and steering.

**Component 2.1 Enhancing Regional Capacity Building and Evaluation– total costs, including contingencies US\$5.0 million.**

22. This sub-component aims to provide timely, sufficient, precise and reliable information for the measuring and reporting of aggregated results to improve and assess the performance of the selected institutions. The project activities will be:

- Capacity Building activities for the ACEs. This could include training and capacity building within: education and project management, fiduciary training, and specific topics as per needs identified by ACE, for example grant proposal preparation, university board functioning etc.
- M&E: (i) Enhancing the M&E structures of ACEs and the RFU to facilitate regular and timely reporting on progress; (ii) Workshops and Trainings for ACEs’ relevant staff to jointly develop and report on their results framework; (iii) third party evaluation and technical evaluations for the DLI and results reporting; (iv) other M&E activities including international evaluation groups, and baseline studies, assessments and surveys as per need.
- Support regional policy making through working with ECOWAS, and potentially other regional bodies, to prepare policy studies on regional student and labor mobility and other relevant higher education issues; and to build capacity for regional policy making within higher education, including training of staff.
- The Facilitation activities of the regional facilitation unit, the ACE SC, and the national review committees, including activities related to project management, staff, operating costs, per diem, communication, supervision and implementation visits to individual ACEs. This also includes regular supervision/implementation review, workshops to discuss lessons learnt and activities to support the scaling up of the centers of excellence initiative.

23. **Component 2.2 Project Facilitation in Nigeria** – (Total cost, including contingencies US\$1.2 million). This sub-component will finance project implementation support and facilitation for the National Universities Commission in Nigeria. This includes national facilitation, training, and supervision in fiduciary aspects as well as national M&E and minor TA.

24. **Component 2.3 Enhancing Demand-driven Regional Education Services in The Gambia** – (Total costs, including contingencies US\$3 million). This sub-component is financed through a Regional IDA Credit of US\$2 million and National IDA Grant of US\$1 million. It seeks to increase regional use and benefit from the strengthened ACEs under Component 1 in a demand-driven manner. The sub-component will finance provision of higher education services to The Gambia’s students, faculty and civil servants. The education services could include short-term specialized training to government officials, short-term merit-based scholarships to young talent, faculty development for non-ACE institutions, visiting faculty,

and curriculum development. The Gambia will contract the ACEs to deliver the demanded services.

**Component 2.3 Demand-driven regional services – The Gambia – total costs, including contingencies US\$3.0 million**

25. The objective of this sub-component is to support, in a demand-driven manner, a country without a Center of Excellence through the regional services of the Africa Centers of Excellence. The Gambia will receive funding to purchase education services from the ACE for national universities and for professional development of civil servants in order to meet critical national needs in skills and training. This demand-driven approach, where the government and national institutions decide the kind of education services needed and from which Center of Excellence, aims to increase the benefit of the ACE project broadly across West and Central Africa, and benefit the ACEs that are most demand-driven. The proposed sub component will contribute toward the following performance indicators: (i) share of regional faculty training at the ACEs; (ii) share of regional students training at ACEs, and (iii) number of national faculty research pieces co-authored with non-national faculty.

26. **Potential types of Services that the ACEs could deliver to The Gambia include**, but are not limited to:

- Visiting Faculty Mentorship Program at ACE: Gambian faculty will train at the ACE, during which time they are designated as visiting faculty. Each priority country university participant is assigned an ACE faculty mentor with the goal of co-authoring research in his/her field, and will attend organized training sessions as part of the program as well..
- Experienced Faculty Lecture Series: Faculty from the ACE can teach at the Gambian institutions.
- Access to Labs and Equipment, and related training at ACE: Gambian faculty can travel to the ACE to access advanced equipment and receive training using advanced lab equipment available at ACE.
- Scholarships and Student Exchange Programs: Gambian students could be supported to attend specialized training at an ACE.
- Administration Training and Curriculum Development: Professional administrative training courses and curriculum development courses provided by the ACE to relevant professionals within priority country universities and governments.
- Civil Servant training at an ACE: Government workers in key sectors such as Health and Extractive Industries attend a one week training course at the ACE on best practices, cutting edge research in their field and applications to policy.

27. Travel and per diem costs will be standard for the sub-region. The costs for each academic service will be put into a bid-process and subsequently negotiated between the ACE and the purchasing beneficiary. Scholarships and student exchange programs will be limited to no more than US\$25,000 per person to ensure that the funds benefit broadly, and are not concentrated on a few individuals.

## **IV. INSTITUTIONAL FRAMEWORK FOR THE OPERATION OF THE ACE PROJECT**

### **a) Key Roles and Responsibilities at the national level**

28. The implementation of the ACE Project at the national level rests essentially with the selected institutional centers of excellence. In this respect, each selected institution will implement its own Africa Centers of Excellence proposal. Further, administrative capacity, most often from the institutions' central administration will assist with the fiduciary tasks. An ACE team will be established, led by a Center leader who is a recognized educator/researcher within the primary discipline of the ACE and supported by faculty from the relevant engaged departments.

29. Each government will constitute a National Review Committee through the ministry or agency responsible for higher education. It is tasked with a semi-annual review of performance and implementation support, including approvals of withdrawal applications and implementation planning (but with no day-to-day implementation or approvals). This committee will include members from Ministry of Finance, as well as relevant line ministries based on the focus area of the ACEs (e. g agriculture, health, oil and gas etc.). In particular, relevant government agencies such as the Ministry of Finance, Ministry of Higher Education, Ministry of Youth and Sports, and Ministry of Health, as well as national agencies responsible for higher education will be represented in the National ACE Review Committee, which will be headed by a national focal point appointed by the government of each participating country.

30. Fiduciary project implementation support and supervision at the national level will lie with an existing implementation unit responsible for the implementation of a related World Bank project in education, health, agriculture or the extractive industries. This avoids setting up a new implementation unit, builds upon existing fiduciary capacity, and increases integration of the project within the Bank's existing portfolio. Further, the regional facilitation unit (AAU) will fund training within fiduciary and safeguard issues as per needs.

### **b) Key Roles and Responsibilities at the regional level**

#### **Regional ACE Steering Committee**

31. The ACE Steering Committee will provide overall guidance and oversight for the project. During project preparation the ACE Steering Committee will make the final recommendation and selection of the ACEs following a technical evaluation by the Independent Evaluation Committee. During project implementation its main task will be to provide oversight and guidance on the project and direct ACEs to ensure the achievement of the project objectives. The steering committee includes representatives from each of the participating countries, recognized African and international academicians, sector representatives, and acknowledged

civil society/private sector stakeholders. Annex 1 presents the Terms of Reference for the ACE Steering Committee.

### **Regional Facilitation Unit**

32. A Regional Facilitation Unit (RFU) hosted by the African Association of Universities will be responsible for component 2. The AAU will be responsible for implementing component 2 of the project, where component 2.1 entails supporting the aggregation of the M&E reports for the ACEs as well as capacity building on project management for the ACEs and capacity building within higher education. This includes managing the evaluation proposal, support to develop baselines, and as required consultancies for independent verification of M&E reports. The RFU will also be responsible for implementing sub-component 2.2 of the project which entails the facilitation of higher education service provision from ACEs to beneficiaries in non-ACE hosting countries. The RFU will employ existing staff and resources in AAU and add specific required staffing, including an ACE project facilitator that will be the day-to-day responsible for project implementation. Annex 2 provides the Terms of Reference for the RFU

33. ECOWAS would provide the overall political backing and advice on promoting the regional specialization of the project. The project would also support policy studies and capacity building within ECOWAS to review policies for regional mobility of skilled labor and policy coordination within higher education.

### **Regional Coordination and Facilitation**

34. The ACE Project will be implemented by the selected ACEs, with project facilitation and coordination support from the Regional Facilitation Unit (RFU) and technical assistance from selected consultants as necessary. The individual ACE is responsible for strategic planning and implementation of their institutional proposal, monitoring, evaluation and reporting. The ACE will also be responsible for all fiduciary aspects required under World Bank guidelines for financial management, procurement and environment and social safeguards. The Regional Facilitation Unit is a regional body with at least 4 number of professional staff established in the secretariat that deals with Project coordination and facilitation, support to ACEs for monitoring and evaluation and various technical assistance as necessary. The project will operate under the overall guidance and oversight of a Project Steering Committee (PSC) whose main task is to set implementation guidelines, review results and progress, oversee the RFU and assist ACEs to ensure the achievement of the project objectives.

35. Project implementation support and supervision at the national level would be undertaken by the National Project Performance and Review Committee. The fiduciary capacity available within higher education or related project would provide implementation support and possibly oversight for the ACE. Further, the ACE project would to the extent feasible, use the same fiduciary procedures as in the closely related project.

### **The Goal of the RFU**

36. Given the regional nature of the project, the project requires the RFU to coordinate and facilitate regional activities to the ACE, partner institutions and be responsible for implementing regional activities for non-ACE countries participating in the project. The RFU will not implement or compete with the ACEs in implementation of the project, rather the RFU will work in close collaboration with the ACEs to ensure smooth operation of the project and will support the implementation of project through:



- i. facilitating the selection of the ACEs and other project preparation activities.
- ii. ensuring effective and efficient coordination and facilitation of regional project activities.
- iii. supporting the monitoring and evaluation needs of the selected ACEs as well as aggregated M&E needs of the overall project.
- iv. supporting the Project Steering Committee in delivering its tasks.
- v. providing capacity building support and facilitate provision of tertiary education services to non-ACE member citizens on demand.

### **The Role of the RFU**

37. Specifically the role of the RFU will be to support the ACE project through:

1. Preparation Phase: during this phase the RFU will
  - (i) Coordinate and facilitate the selection and evaluation process of the ACEs
  - (ii) support preparation of MoUs for ACEs with partner institutions
  - (iii) undertake baseline study for project results framework
  - (iv) Support the set-up of the project steering committee
  
2. Implement component 2 of the project ie regional project coordination, monitoring and evaluation and tertiary education support to non-ACE countries. Tasks include:
  - (i) support the capacity building, knowledge sharing and coordination between the ACEs and partner institutions through joint lessons learning and capacity building events
  - (ii) serve as the facilitation secretariat between the different project stakeholders including supporting the coordination between the ACEs with concerned Ministries/ Departments of national Governments and the World Bank
  - (iii) administer scholarships to ACE countries in requested thematic areas
  - (iv) be responsible for overseeing implementation of cross-cutting intervention tasks such as policy studies for regional mobility and other relevant tertiary education issues
  - (v) organizing two annual supervision missions
  - (vi) periodic meetings between ACEs and relevant stakeholders
  - (vii) prior to the supervision missions, semi-annual reports on Project implementation will be prepared by the ACEs with the support of the National Coordination Units.
  - (viii) coordinate and fund the activities of the PSC, including facilitating the bi-annual PSC meetings.
  - (ix) support the provision of technical assistance to ACEs in thematic and other tertiary education areas as requested.
  - (x) Manage a pool of funds for countries who do not have ACEs to buy educational services from ACEs.
  
3. Provide Monitoring and Evaluation support to the ACEs in particular:
  - (i) overall data collection for monitoring and evaluation
  - (ii) support in M&E activities including report updating
  - (iii) aggregating reports from all the ACEs into one
  - (iv) guide the operations of Monitoring and Evaluation Specialists in ACEs and Partner institutions through providing advice and operating as a support role for issues/problems and solutions) raised by ACEs and partner institutions,

- (v) Support the development of procedures for regular monitoring of performance of Project Institutions,
- (vi) Conduct/ commission impact evaluation of training programmes and various types of other studies, and disseminate the findings, and
- (vii) Publish on its website results of all national level selections, findings from monitoring and evaluation studies and such other information as required under Disclosure Management Framework.

### **The ACES**

38. As has been stated previously, the ACE project consists of two components. Component 1 will aim to strengthen the capacity of selected institutions to establish Africa Centers of Excellence (ACE). These ACEs will deliver regional, demanded, quality training and applied research in partnerships with regional and international academic institutions and in partnership with industry. Component 2 consists of regional activities for the ACEs and their governments to build capacity, support project implementation, monitor and evaluate, and develop regional policies. Further, component 2 will, in a demand-driven manner, finance ACE support to selected countries in West Africa without Centers of Excellence.

39. Funding and performance contract between the government and the University. This agreement will be signed upon behalf of the government by the Ministry of Finance and the Ministry/Agency in charge of Higher Education and on the university side by the Head of Institution (Rector/Vice-Chancellor) and the ACE Center Leader. A template of this agreement will be provided for each country to consider and customize if found appropriate. This Funding and Performance contract should describe :

- Upon project effectiveness – after signing of the above two agreements and any needed national approval (around May 2014)
- The ACE will submit information to the National Review Committee regarding the achievement of the preparation and qualification results (DLI1 – Year 0). Further, the ACE will certify that it has the required background information in its archives to document the achievements of the results.
- The Government through the National Review Committee will review and submit information to the World Bank with copy to the AAU regarding the achievement of the preparation and qualification results (DLI 1 – Year 0). This information will be supplemented with expenditures in the Eligible Expenditure Program (primarily salaries). This first disbursement is planned to amount to 10% of the agreed ACE support.
- The World Bank will disburse funds for Year 0 results (to a project account in MoF).
- Ministry of Finance will transfer the funds using the regular budget process to the ACE account at the university level.
- If additional funds are necessary for implementation, the government can request an advance from the second disbursement of up to an additional 10% of the support to each ACE. This will be an advance, and if results and eligible expenditures are not subsequently submitted to the World Bank, this advance will have to be refunded to the World Bank.

40. For each subsequent yearly disbursement (May 2015 – 2018)

- a) The ACE will compile the achieved results and certify that it has the required background information in its archives to document the achievements of the results.

- b) The ACE, ACE country focal point and the Ministry of Ministry of The Government through the national review committee will review the results and submit information regarding the achievement of the project results for that year (Year 1-4). The information to submit consists of two parts: (i) ACE results in the form of the DLIs, and (ii) Expenditures in the eligible expenditure program (EEP).
- c) AAU (the regional facilitation unit) will together with the World Bank verify achievements, sometimes on a sample basis, and The World Bank will disburse the agreed funds for that year's results to the project account in MoF.
- d) Ministry of Finance will transfer the funds using the regular budget process to the ACE account at the university level.

### **I. Specific Implementation Arrangements for The Gambia**

- 41. The Gambia implementation arrangements will be led by MOHERST, which is responsible for coordinating the capacity needs in The Gambian institutions. The fiduciary and administrative support will be undertaken by the PCU which lies currently within the Ministry of Basic and Secondary education. The National Technical Committee shall provide oversight for the Project and hold semi-annual reviews of performance and implementation, with the Focal team in charge of the implementation, coordination and monitoring.
- 42. A consultancy contract will be signed between MOHERST/Beneficiary institutions and the selected ACE to deliver the regional education service.

### **Overall Communication Structure for the Project**

- 43. Given the regional nature of the project and many stakeholders involved, the section below describes the proposed lines of communication for the project. Given the evolving nature of task teams, team members and positions may change during lifetime of the project.
- 44. The Africa Centers of Excellence project involves:
  - Eight countries, each with the ACE Center Leader, Focal Point and Steering Committee members.
  - Regional Facilitation Unit based in the Association of African Universities
  - World Bank Task Team Leader and Co Task Team Leader (based in country office) Financial Management Specialist and Procurement Specialist.
- 45. As such the project communications channels includes the following:
  1. For all no-objections on the project, requests should be sent to the Co-TTL based in the country office with copy to the Regional TTL.
  2. For all communication to the Center Leaders, the co-TTL, Regional TTL and focal point should be copied
  3. For all communication to Financial Management or Procurement Specialist, the copy should be made to the co-TTL and focal point
  4. For all regional no-objections from the RFU it should be sent directly to Regional TTL.
  5. For all sector specific questions on improvement and work related to the sector ACE, send to related colleague ie Health/Agriculture/STEM with copy to co-TTL and Regional TTL



ACE World Bank team contacts and structure

	Nigeria	Cameroon	Ghana	Burkina Faso	Benin	Senegal	Togo	Gambia	Regional Focal Point
Financial Management	Akin Akinyele	Ousmane M. Enagnon A	Robert Hansen	Edith Tchoko,	Alain Hinkati	Fatou Fall Samba	Alain Hinkati		Ppiker@worldbank.org
Procurement	dkajang@worldbank.org	Kouami H.	cashong@worldbank.org	Mamata T Boubacar D.	Mathias G.	Sidy Diop	Itchi Ayindo		Arotman@worldbank.org
Safeguards		Serge Menang						.	Hchalal@worldbank.org
Education	oadekola@worldbank.org	Aseck2@worldbank.org	edapaah@worldbank.org	Aouedraogo1@worldbank.org.	hgbaye@worldbank.org	Aseck2@worldbank.org	pmulet@worldbank.org	nlahire@worldbank.org	ablom@worldbank.org and hbayusuf@worldbank.org
Sector colleagues									Cerik@worldbank.orgAgriculture ACEs  Cherbst@worldbank.orgHealth ACEs



## **V. MONITORING AND EVALUATION ARRANGEMENTS**

### **a) Purpose and Objective**

46. This section of the operational manual describes the monitoring and evaluation arrangements for the ACE-Programme and explains its objective/purpose. The roles and

responsibilities of the Regional Facilitating Unit (AAU), the ACEs, the ACEs' Partner Institutions, and other key stakeholders are also outlined.

47. As a World Bank funded intervention, the ACE-Programme emphasizes results based management which focuses on tracking results and how these feed into achievement of programme goals. Additionally, financing of the programme is also linked to performance on agreed indicators. Monitoring and evaluation is therefore critical. Under the ACE-Programme, the focus will be on assessing the extent to which implementation at all levels (the Regional Facilitating Unit - AAU, ACEs and their partner institutions) is consistent with agreed timelines and outcomes as set out in the project appraisal document (PAD). The data gathered will not only serve as a tool for results based planning of results, indicators, related activities and budgets; but also will help to show progress and achievements made under the programme. In addition, it will support decisions on programme implementation and improvement; demonstrate compliance with agreed procedures and plans; contribute to organisational learning and knowledge sharing through reporting and subsequent discussion and reflection on achievements and challenges; and provide information for stakeholders.

#### **b) Scope of M&E Arrangements**

48. In line with the objectives above, the ACE-Programme monitoring will cover three aspects, namely Performance; Compliance; and Impact monitoring. Performance monitoring will determine whether activities and processes are being executed as per agreed schedules and data gathered will help identify implementation challenges and improve project management. Compliance will be assessed based on whether grant conditions and programme implementation guidelines including procurement and fiduciary conditions are being followed. Impact will be measured based on the extent to which the ACE-Programme is contributing to the achievement of the ACE-Programme development goals.

49. Monitoring and evaluation will be carried out at all levels of the ACE-Programme implementation, which cascade one into the other. There are basically three cascading levels which will be relevant for planning, managing and measuring the ACE-Programme's progress: (i) The overarching programme level which will involve on the one hand compiling and aggregating all data provided by each ACE, and planning, managing and reporting of ACE overarching results- which is under the responsibility of the Regional Facilitation Unit, the AAU; (ii) The project level for each of the separate ACEs - which is under the responsibility of each ACE (which will also report to the AAU), including the data provided to them by their Partner Institutions; (iii) the ACEs' Partner Institution Level, which is planning, managing and measuring relevant data for the ACE level RFs – which is under the responsibility of each PI, providing the data to their ACE.

#### **c) Preparations for Monitoring and Evaluation**

##### *Developing the Results Framework*

50. To facilitate the M&E process, an overall Results Framework (RF) has been developed by the Bank in collaboration with the AAU and other key stakeholders, and with input from government and university representatives in the region. The RF details results indicators, unit of measure, baselines and cumulative targets for each of the 4 years of the programme, the frequency of measurement of the indicators, data source/methodology, responsibility for the collection of data on, and tracking of each indicator, and guidelines on M&E systems to set up. The RF will serve as the main reference for planning, managing and tracking progress, for



assessing the effectiveness of the Project during implementation and measuring final outcomes after project completion.

51. In addition to the three levels mentioned in paragraph 3 above, there is one more cascading level mainly serving for each ACE to plan, manage and measure Project implementation. Individual ACEs and the Regional Facilitating Unit (AAU) will be expected to develop their own specific results frameworks detailing the expected results, indicators and targets specifically tailored to their, based on the details of their individual projects in the project appraisal document.

52. The AAU as the Regional Facilitating Unit (RFU) will be responsible for coordinating and supporting the ACEs in implementing and monitoring their projects. Where necessary, local and international experts may be engaged. However, please note that as per the project documentation, primary responsibility for monitoring and evaluation lies with the ACEs.

#### *Determining Scope of Monitoring and Evaluation*

53. Based on the Results Framework, individual ACEs and the RFU are expected to determine what monitoring and evaluation activities will be necessary, and assess their institutional capacities for undertaking them. The ACEs are then expected to put in place the necessary tracking systems<sup>1</sup> (both automated and manual) and to designate persons to oversee and implement monitoring and evaluation<sup>2</sup>. Where necessary, ACEs may have to arrange additional training for its monitoring and evaluation staff or recruit staff with the requisite expertise. To facilitate the M&E process, ACEs will be expected to draw up in addition to the results frameworks, M&E plans to help plan and manage Monitoring and Evaluation activities over the four years of the project. The M&E Plan should detail what is being monitored (the type of information or data to be collected), how (the data collection methods to be employed), when (the frequency of data collection and reporting), by whom (the persons responsible for monitoring and evaluation, their specific capacities and assigned tasks) and for what reason (how the information gathered will support monitoring and project management).

#### **d) Key Performance Indicators and Targets**

54. Based on the objectives of the ACE-Programme, a number of indicators have been established to keep track of the performance of the ACE-Programme as a whole. The indicators relate to regionality, training and research quality, research quantity, outreach, and administrative/governance quality, are detailed in Annex 8.

55. Each indicator is linked to a project development objective (PDO) and related base lines and target values. A baseline value represents the value of the indicator at the outset of, or, prior to implementation of the ACE Project. Target values provide a basis for monitoring, evaluating and reporting performance over time through the collection of trend data. Targets

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<sup>1</sup> Some guidelines have been provided in the Results Framework on what tracking systems are needed. Essentially, the guidelines points out what information would need to be collected, what strategies or systems (such as databases) would need to be put in place and other related issues.

<sup>2</sup> While the Project Coordinators will have general oversight of the monitoring and evaluation at each centre, it is important, and it is also expected that the Coordinator will, with regard to each of the indicators, designate particular project staff to track and collect data. These persons should be able to provide the RFU and the WB (where necessary), with all information pertaining to the specific indicator they are in charge of. The full names, positions and contact details (email and telephone) should be provided in the appropriate column of the results framework.

should be reviewed periodically and revised where necessary to ensure they are realistic, given current project conditions.

56. The RFU (AAU) will collect, analyse and submit status reports to the World Bank on the performance of the indicators. Individual ACEs are therefore expected to collect and submit accurate data on the performance of each indicator in the agreed Results Framework to facilitate the RFU's task. On a regular basis, data submitted by individual ACEs will be subjected to a strict verification process by the RFU and an independent consultant to confirm their validity.

#### **e) Roles and Responsibilities**

##### *ACE Partner Institution Level*

57. At the Partner Institutions level, Project Leaders will be responsible for M&E and will be required to submit relevant reports according to schedules agreed with their respective ACEs. The Project Leader will also be expected to assign the tracking and data collection of each indicator, to particular staff.

##### *ACE Level*

58. At the ACE level, the Project Coordinator shall be responsible for overall management of monitoring and evaluation activities. The Coordinator will be supported by other project staff designated to track and collect data on specific indicators, the services including supervision and management of the study, team training, liaison with AAU and other parties, and ensuring quality control of services.

##### *RFU Level*

59. At the RFU level, the Project Coordinator will have primary responsibility for compiling and reporting monitoring and evaluation reports to the World Bank. The Coordinator will be supported in this role by the Monitoring and Evaluation Officer and other RFU staff designated to track specific indicators.

#### **f) Reporting**

##### *ACE Partner Institution Level*

60. With regard to reporting, ACE Partner Institutions (PIs) will be expected to collect data using the results frameworks developed by the ACEs. The PIs will submit this information to the ACEs regularly and based on schedules already agreed between them and their ACEs.

##### *ACE Level*

61. Based on the information submitted by their PIs and data collected on site, individual ACEs are expected to report on the performance of the indicators biannually to the RFU (AAU). The primary M&E reporting tool is the Results Framework and the columns to note are titled "Status as of..."(showing how an indicator performed in relation to the target for the reporting period) and "Comments" (explaining any variances between actual and planned achievements, and any unexpected results). In the "status as of ..." column, ACEs will be expected to note the reporting period/date in the heading of the column as in the example below. In each cell of the column, the performance of the corresponding indicator will be reported by noting the actual target achieved over the reporting period and the variance between these two measures. In the "Comments" column, ACEs will be expected to explain under performance (where the target

achieved is lower than the cumulative target as stated in the RF) and give reasons for over-performance (that is where targets achieved are higher than planned). The same column will also serve to report any unexpected outputs or outcomes attributable to the implementation of the project (please see example below). The ACEs are required to collect and submit data bi-annually<sup>3</sup>, (November 15th and June 1st) to the RFU (AAU)

*RFU Level*

62. The RFU is directly responsible for reporting on the programme to the World Bank and is therefore expected to submit annual reports to the Bank on December 30th and June 30th each year. The RFU will collect, compile and analyse data received from the ACEs and forward to the WB to inform programme management and grant

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<sup>3</sup> The RFU (AAU) is expected to submit annual reports to the WB on December 30<sup>th</sup> and June 30<sup>th</sup> each year. To facilitate the process and ensure timely submission, the ACEs are expected to submit their bi-annual reports to the RFU (AAU) by November 15 and June 1 each year. This will allow the RFU enough time (between 2 – 3 weeks) to review and make comments for fine-tuning the results frameworks for the individual ACEs, and aggregate the data for onward submission to the WB.

63. disbursement decisions. The template for the Results Framework is provided below.

**Table 2: Results Framework and Monitoring**  
**Africa Higher Education Centers of Excellence Project (P126974)**

**Results Framework**

**Project Development Objectives**

PDO Statement

The Project Development Objective is to support the Recipients to promote regional specialization among participating universities in areas that address regional challenges by strengthening the capacities of these universities to deliver quality training and applied research.

**These results are at** | Project Level

**Project Development Objective Indicators**

Indicator Name	Core	Unit of Measure	Baseline	Cumulative Target Values					End Target	Frequency	Data Source/	Responsibility for
				YR1	YR2	YR3	YR4	Methodology			Data Collection	

No. of national and regional students enrolled in new specialized short-term courses, and Master and PhD programs	<input type="checkbox"/>	Number	1580.00	4100.00	7400.00	9500.00	12,000	15600.00	Bi-annually	ACE Enrolment records	AAU based upon data submitted by ACEs
No. of regional students enrolled in new specialized short-term courses, and Master and PhD programs	<input type="checkbox"/>	Number Sub-Type Breakdown	987.00	2250.00	4100.00	5300.00	7,600	8900.00	Bi-annually	ACEs' enrolment records	AAU based upon data submitted by each ACE - verified on a sample basis
No. of internationally accredited education programs	<input type="checkbox"/>	Number	3.00	5.00	7.00	10.00	12.00	15.00	Bi-annually	ACEs records of certificates/reports of international accreditation or evaluation bodies	AAU based upon data submitted by each ACE

No. of students and faculty with at least 1 month internship in companies or institutions	<input type="checkbox"/>	Number	1037.00	1700.00	2700.00	4300.00	51,00.00	5900.00	Bi-annually	ACE Records	AAU based on data submitted by ACEs
relevant to their field.											
Amount of externally generated revenue by the ACEs.	<input type="checkbox"/>	Amount(USD)	976877.00	2000000.00	3500000.00	5000000.00	6500000	8000000.00	Bi-annually	Financial Statements from individual ACEs	AAU based on data submitted by each ACE

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**Intermediate Results Indicators**

Indicator Name	Core	Unit of Measure	Baseline	Cumulative Target Values					Frequency	Data Source/	Responsibility for
				YR1	YR2	YR3	YR4	End Target		Methodology	Data Collection

No of female students enrolled in new specialized Master, PhD, post-grad, and short-term courses/ programs	<input type="checkbox"/>	Number Sub-Type Breakdown	311	700	1450	2000	2650	3300	Bi-Annually	ACEs enrollment records	AAU based on data submitted by ACEs
No of faculty with at least 1 month outreach in companies or institutions	<input type="checkbox"/>	Number Sub-Type Breakdown	23.00	60.00	100.00	170.00	145.00	240.00	Bi-Annually	ACE Records	AAU based on data submitted by each ACE

relevant to their field.											
No of faculty trained by the ACEs	<input type="checkbox"/>	Number	100.00	300.00	500.00	700.00	800.00	900.00	Bi-annually	ACEs Records	AAU based on data submitted by the ACEs
Number of regional faculty trained by the ACEs	<input type="checkbox"/>	Number Sub-Type Breakdown	27.00	100.00	180.00	260.00	295.00	335.00	Bi-Annually	ACEs Records	AAU based upon data submitted by each ACE



Number of regional faculty trained by the ACEs	<input type="checkbox"/>	Number Sub-Type Breakdown	27.00	100.00	180.00	260.00	300.00	335.00	Bi-Annually	ACE Records	AAU based on data submitted by the ACEs
No of national faculty trained by the ACEs	<input type="checkbox"/>	Number Sub-Type Breakdown	73.00	200.00	320.00	440.00	500.00	565.00	Bi-annually	ACE Records	AAU based upon data submitted by the ACEs
No of newly established or revised curricula (meeting labor market skills), as approved by the appropriate institutional	<input type="checkbox"/>	Number	0.00	15.00	30.00	45.00	53.00	60.00	Bi-annually	ACE records	AAU based upon data submitted by each ACE
organ.											

Increase of internationally recognized research publications in disciplines supported by the ACE-Programme	<input type="checkbox"/>	Percentage	1098.00	1150.00	1207.00	1268.00	1300.00	1331.00	Bi-annually	International bibliometric databases (from Scopus by Elsevier)	AAU
No. of partnership agreements between ACEs and engaged partner institutions	<input type="checkbox"/>	Number	48.00	100.00	150.00	170.00	170.00	170.00	Bi-annually	Information from MoUs submitted by ACEs to RFU	AAU based on data submitted by each ACE
ACE project implementation team meetings with openly disclosed minutes	<input type="checkbox"/>	Number	0.00	30.00	60.00	90.00	105.00	120.00	Bi-annually	ACEs records and website	AAU based on data submitted by ACEs
Annual disclosed unqualified external financial audit with the ACE annual budget (planned	<input type="checkbox"/>	Number	0.00	7.00	15.00	25.00	30.00	37.00	Annually	ACE Audit Reports together with managerial letters and	AAU with data submitted from ACEs

and executed).										ACE website	
RFU holding regular meetings with at least 15 ACEs participating	<input type="checkbox"/>	Number	0.00	2.00	4.00	6.00		8.00	Bi-annually	Record and minutes of RFU/ACE meetings	AAU
Level of satisfaction of ACE and ACE Steering Committee on quality of support provided by the Regional Facilitation Unit (AAU).	<input type="checkbox"/>	Percentage	0.00	50.00	60.00	70.00	72.500	75.00	Annually	Questionnaire feedback from ACEs and SC	AAU
No of ACE Institutions reporting on at least 85% of their indicators, submitting the RF to the AAU in time.	<input type="checkbox"/>	Number	0.00	8.00	10.00	12.00	15	19.00	Bi-annually	ACE RF Submission reports	AAU

Annual program report prepared and submitted to WB	<input type="checkbox"/>	Text	N/A	Done	Done	Done	Done	Done	Annually	Annual reports from individual ACEs	AAU based upon data collected by each ACE
Direct Project Beneficiaries	<input checked="" type="checkbox"/>	Number	1950.00	4400.00	7900.00	10200.00	12800.00	16690.00	Bi-annually	ACE Records	AAU based upon data submitted by the ACEs
Female beneficiaries	<input checked="" type="checkbox"/>	Number	332.00	786.00	1598.00	2211.00	2884.00	3606.00	Bi-annually	ACE Records	AAU based upon data submitted by the ACEs

## Project Development Objective Indicators-Definitions Table

Indicator Name	Description (indicator definition etc.)
<p>No of regional and national students enrolled in new specialized Master, PhD, post-grad, post-doc and/or short-term courses/ programs [% of which are females ]</p>	<p>This indicator focuses on measuring the → Regionality of the program.</p> <p>Notes:</p> <ul style="list-style-type: none"> <li>- The term ‘regional’ in this results framework always refers to African students who are not from the country hosting the particular ACE.</li> <li>- Master and PhD Students will have to be completed at least one semester to be included. With universities with strike for over the semester, the If a PhD student drops out, he/she must be replaced with a new student before another PhD students can be counted. A university can only count a student once in the student indicators, ie a Master student cannot also count as a short term student.</li> </ul> <p>Exchange/visiting students will count as long as they are studying full time at the ACE for at least one semester. On-line students are included, but will be discounted by 50% for the DLI disbursements. In case of protracted strikes or other forms of significant interruptions of classes during the semester, the Bank reserves the right to request further information and/or carry out an evaluation whether the new students have completed a full semester.</p> <ul style="list-style-type: none"> <li>- Data for each of the different levels is to be broken down in the comment/details section when reporting, and reflected in the progress reports. - Target numbers with respect to females might vary depending on the engaged sectors (e.g: extractive industries vis a vis health).</li> </ul>
<p>No. of internationally (regionally/subregionally) accredited education programs</p>	<p>This indicator focuses on measuring the → Training Quality of the program. Notes:</p> <ul style="list-style-type: none"> <li>- Data should give the accumulated number: internationally accredited including regional and sub-regional accreditation, and indicate the specifics (no per each level, also naming the accrediting institution).</li> <li>- Internationally accreditation by a recognized accrediting body – (satisfactory to the World Bank).</li> </ul>

<p>No. of Students /faculty with at least 1 month internship in a private sector company or an</p>	<p>This indicator focuses on measuring the → Outreach of the program. Notes: - ACEs to:</p>
<p>institution relevant to their field/ sector</p>	<p>(i) provide differentiated, disaggregated data on (a) students vis a vis faculty; and (b) on students and faculty from ACEs vis a vis from other (academic) Partner Institutions; (ii) ACEs to establish a database tracking all related information to show evidence with respect to names/titles/professional area of exchange students/ staff, locations/ institutions/departments where placed, as well as full contact information of the institution/ organization, timing of placements, and final evaluation reports from students/faculty on lessons learnt during the placements and suggestions for adjusting curricula of their home institution to capture relevant aspects due to their experience (with the purpose to making curricula relevant for labor market needs).</p>
<p>Amount of externally generated revenue by the ACEs.</p>	<p>Externally generated revenue deposited into the ACE's account from tuition fees, other student fees, sale of consultancies, joint research, fund raising and donations, or other external sources. These funds are for investment and operation of the ACE. Excluding all government education and research subventions, including research grants (sale of consultancy work to the government is accepted as externally generated revenue). Funds from other governments, including donor assistance, are discounted by half with the justification that such funding is not a long term source of funding. Externally generated funds from other donors/development partners is capped at 50% of the maximum to be disbursed.</p>

Indicator Name	Description (indicator definition etc.)
<p>No of faculty trained in an area relevant to the ACE-Program, through training carried out or organized through the ACEs.</p>	<p>This indicator focuses on measuring the → Training Quality of the program.</p> <p>Notes:</p> <ul style="list-style-type: none"> <li>- ACEs to provide additional disaggregated data for % split between (a) faculty from ACEs trained vs. (b) faculty from Partner Institutions vs (c) faculty from the region trained.</li> </ul>

No of newly established or substantially revised curricula.	The ACEs and PIs would establish a database with both the original curricula and the substantially revised curricula. The curricula must have been approved by the appropriate institutional organ. Further an advisory report/note from external reviewers (relevant industry
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**Intermediate Results Indicators**

	professionals, employers and academics) should be included in this database to ensure curricula meet labor market needs for the labor market.
Increase of internationally recognized research publications in disciplines supported by the ACE-Program (in %).	<p>This indicator focuses on measuring the → Research Quantity and Quality of the program.</p> <p>Notes:</p> <p>- Data collected by ACEs to track progress on targets for this indicator, will also be tracked by the AAU bi-annually, via a web-based implementation survey.</p>
% of non-national students studying long term (at least 1 semester/ term) in ACEs	Notes: This indicator focuses on measuring the →Regionality of the program. The students have to be studying in a program included under the ACE-Program.



<p>No of partnership agreements between ACE and partner institutions</p>	<p>This indicator focuses on measuring the → Outreach/ Regionality of the program.</p> <p>Notes:</p> <ul style="list-style-type: none"> <li>- Partnership Agreements must follow the guidelines on ‘Partnership Agreements’ outlined in the Project Regional Operations Manual. Examples should be giving in more detail in the progress reports, proving relevance, quality and significance of the agreements as well as of following joint projects and concrete collaboration.</li> <li>- Signed by academic leaders from ACEs and engaged Partner Institutions.</li> <li>- As part of the first proposal to be submitted, an agreement that the ACEs and PIs will partner around the program outlining the main areas of cooperation/ partnering with broad responsibilities will be required – this can, however, be an annex to existing MoUs. Once selected, ACEs and their PIs will need to provide more detail during the ‘proposal improvement’ phase.</li> </ul>
<p>Regular ACE Board Mtg.’s taking place with</p>	<p>This indicator focuses on measuring the → Admin. /Governance Quality of the program.</p>
<p>openly disclosed minutes (No of).</p>	<p>Notes:</p> <ul style="list-style-type: none"> <li>- Exact baseline and target number to be inserted by ACEs according to their established structures; however, at least 3 meetings per year are required.</li> </ul>
<p>Annual disclosed unqualified external financial audit with the ACE annual budget</p>	<p>Disclosed means available on particular ACE’s website. Both the planned and the executed budgets must be available.</p> <p>Notes: - /</p>

<p>Annual meetings of all supported ACEs and PIs carried out, to coordinate and discuss program process, lessons learnt, and recommendations for addressing bottlenecks; all shared in a report.</p>	<p>This indicator focuses on measuring the → Regionality of the program. Notes: - /</p>
<p>Level of satisfaction of ACE and ACE Steering Committee on quality of support provided by the Regional Facilitation Unit (AAU).</p>	<p>Survey feedback from ACEs and Steering Committee members of RFU/AAU’s support. Share of respondents answering somewhat satisfied or highly satisfied by RFU/AAU’s performance. Notes: - /</p>
<p>No of ACE-Institutions reporting on at least 85% of their indicators, submitting the RF to the AAU in time.</p>	<p>This indicator focuses on measuring the →Admin/Governance Quality of the program. Notes: - /</p>
<p>No of students from non-ACE hosting countries studying in selected ACEs.</p>	<p>This indicator focuses on measuring the →Regionality of the program. Notes: - This indicator refers to Component 2.3 only: Non-ACE hosting countries are countries that are participating in the project through Component 2.3 – notably The Gambia.</p>
<p>Direct Project Beneficiaries</p>	<p>This is a core indicator measuring the number of direct project beneficiaries, which is measured as the number of students enrolled in</p>
	<p>new specialized short term, masters and PhD programs, number of faculty trained by the ACEs and faculty benefiting in the 19 selected ACEs.</p>

**TABLE 3: DLI Verification Protocol**

<b>Disbursement Linked Indicator</b>	<b>Documents to be submitted</b>	<b>Additional Information to have readily available for potential verification</b>
<b>DLI 1 Preparation for implementation and implementation capacity</b>		
<p>Institution qualified, Regional specialization approved and Administrative capacity and proper planning</p>	<ul style="list-style-type: none"> <li>• Copy of the Official notification of the establishment of the national review committee, including the members and institutional affiliation of the committee</li> <li>• Copy of the Creation of ACE bank account for the project and rules of operation for funds generated by the ACE.</li> <li>• Copy of the signed funding and performance contract between the University and the Government referring to the ACE implementation plan and the first annual work plan</li> <li>• Copy of the signed partnership contracts between the ACE and its partners</li> <li>• Certification from the World Bank that the Financial Management and procurement procedures and capacity have been approved</li> <li>• Evidence from the government or the AAU that the Regional MoU promoting regional specialization through the ACEs approved by the government’s representative in the Steering Committee.</li> </ul>	<ul style="list-style-type: none"> <li>• ACE implementation plan</li> <li>• ACE annual work plan for the first year</li> <li>• Financial Management and procurement procedures</li> </ul>
<b>DLI 2 Excellence in education and research capacity and development impact</b>		
<p>DLI 2.1: N# of new students in ACE courses</p>	<ul style="list-style-type: none"> <li>• Table with the new students in courses under the ACE, over and above those reported previously. In order to be reported, the new students in degree programs (bachelor, Master, and PhD) must have completed their first semester. The number of new students should be reported by level of course (Short-term, Bachelor, Master, or PhD), by nationality (national, non-national African, and international), and by gender. Note for the determination of the number of new PhD students, any drop outs among previously reported PhD students will have to be deducted from the total intake.</li> <li>• For PhD students, a summary list of the enrollment status of the previous-reported students must be provided, along with a certification that the enrolled PhD students are all actively pursuing the degree.</li> </ul>	<p>☐ List of names and contact details for each student reported.</p>

No. of internationally (regionally/subregionally) accredited	<input type="checkbox"/> ACE to set up a database of all its programmes (as listed in the proposal submitted to AAU) with details on: title, level (PhD, Masters, Bachelor's, Diploma, etc.), type of accreditation, date of accreditation, expiry of accreditation and accrediting agency/ institution. In addition, information must be provided on the type of international accreditation undertaken; Gap assessment certified	<input type="checkbox"/> Certificates of accreditation
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education programs (→ Training Quality)	/undertaken by an external accreditation agency; Self-evaluation undertaken following a satisfactory international standards (agreed as part of the performance agreement); Regional (WAHO/CAMES), sub-regional or National Accreditation or ISO; Bologna Compliant programs (details to be specified)	
No. of Students /faculty with at least 1 month internship in a private sector company or a local institutions relevant to their field/ sector (→ Outreach)	<input type="checkbox"/> Records/ database on internships to be set-up, tracking details on the names, full contact details, courses and academic years of beneficiary students; areas of study; names, status (public/private) and full contact details of host institutions; start and end dates of internships; qualifications (diplomas, certificates, etc.) earned and copies of internships reports <input type="checkbox"/> The type of student benefiting from the placement/internship must be stated ie whether the student is undertaking Masters of Phd program	<input type="checkbox"/> Contacts of students undertaking internships <input type="checkbox"/> Contacts of companies/sector associations hosting students
Amount of externally generated revenue by the ACEs as paid into the designated ACEProgramme account (→ Training & Research Quality)	<input type="checkbox"/> A designated account must be set up for the ACE Project. The financial statement should be in relation to the designated project account. <input type="checkbox"/> The ACE designated account must be audited <input type="checkbox"/> Externally generated funds from other donors/development partners is capped at 50% of the maximum to be disbursed	<input type="checkbox"/> Evidence of revenue generated (bank transfers etc of externally raised funds)

<p>Improved teaching and learning environment as per approved proposal (institutional specific annual milestones specified in the performance and funding agreement)</p>	<ul style="list-style-type: none"> <li>□ The Implementation plan for each ACE will clearly describe 4 annual main milestones for improving of teaching and learning environment based upon the specific activities to be undertaken by the ACE. Further the documentation required to prove the achievement of the milestone will be detailed. This could for example be: signed contract for rehabilitation, signed contract for delivery of specified lab or learning equipment; halfway or completed rehabilitation; delivered and installed labs, learning equipment, or furniture. Students and researchers in labs and using the equipment.</li> <li>□ Each ACE will have differing milestons, however they are a set of common milestones which are             <ol style="list-style-type: none"> <li>1. <i>Signing of building, evidence includes (i) signed copy of contract with bill of quantities (ii) certificate that ESMP adhered to (iii) relevant</i></li> </ol> </li> </ul>	
	<p><i>procurement ocedures from agreed PM has been followed (iii) description o. In addition the x percent in milestone 2 is agreed in the initial contract. Building contract has to be on the ACE website</i></p> <ol style="list-style-type: none"> <li>2. <i>x percent completion of building, evidence includes (i) certification of x percent completion of construction by an architect/engineer acceptable to The Bank. The engineer will be indepenend and hired by AAU to verify the progress (ii) photos to certify completion of construction and uploaded on ACE website</i></li> <li>3. <i>laboratory equipment purchased or supplied contract signed/invoice with certificatoin of procurement, relevant procurement documents are available for post-procurement audits. Equipment contract is shared on ACE website</i></li> <li>4. <i>100 percent completion of building and 80% of equipment installed and in-use by faculty and students. Evidence includes photos and checklist of all equipment contracted with a status and location of purchased equipment. All equipment has to be entered into asset catalogue of the university.</i></li> </ol>	
<p><b>Financial Management</b></p>		

<p><b>Timely withdrawal application</b> supported by financial reporting for the ACE account for the period, including EEPs for the ACE</p>	<p>□ Timely withdrawal application means submission through the appropriate government channels of a withdrawal application on or before the date in the agreed schedule. The schedule will be submission of withdrawal application every 6 months after the date of the project effectiveness. The withdrawal application must be complete with the required information regarding each of the results achieved and the required information regarding the Eligible Expenditure Program.</p>	
<p><b>Functioning Audit Committee</b> under the governing body (council/board) of the University</p>	<p>For the first withdrawal application requesting funding for this result:</p> <ul style="list-style-type: none"> <li>• Guidelines/ ToRs for the audit committee constituted under the governing body of the university</li> <li>• Members of the audit committee</li> </ul>	
	<ul style="list-style-type: none"> <li>• Evidence (report or minutes of meeting) that the Committee has met and discussed the audit for the ACE, the committee’s role in the project, and risks associated with the project.</li> </ul> <p>For subsequent withdrawal applications:</p> <ul style="list-style-type: none"> <li>• Evidence (report or minutes of meeting) that the Committee has met and discussed the external audit for the ACE, any internal audit reports, and following up on issues raised to ensure management’s attention and correction.</li> <li>• If changes to the Guidelines / ToRs have been made, the revised ToRs or Guidelines should be included.</li> </ul> <p>Note, the Audit committee should in principle carry out an institutional review of the audits and follow-up. However, the term functioning will be interpreted only regarding review of the ACE part of the university.</p>	

<b>Functioning internal audit for the university</b>	<p>For the first withdrawal application requesting funding for this result:</p> <ul style="list-style-type: none"> <li>• Guidelines/ ToRs for the internal audit unit for the university (or college/school depending upon the structure of the university)</li> <li>• Staff members of the internal audit unit</li> <li>• Evidence (report or minutes of meeting) that the internal audit unit has discussed the university’s participation and responsibilities under the Africa Centers of Excellence project, the unit’s role in the project, and risks associated with the project.</li> </ul> <p>For subsequent withdrawal applications:</p> <ul style="list-style-type: none"> <li>• Evidence (report) that the internal audit unit has reviewed the ACE accounts and evidence of an internal control system using a risk based approach.</li> <li>• If changes to the Guidelines / ToRs of the internal audit unit have been made, the revised ToRs or Guidelines should be included.</li> </ul> <p>Note, the internal audit should in principle carry out institutional reviews of the financial management. However, the result refers only to the review of the ACE part of the university.</p>	
<b>Transparency on Financial management and project implementation</b>	<p>A link to the institutional website where the following project reports are publicly available:</p> <ul style="list-style-type: none"> <li>• All external audit reports for the project, all interim financial reports, the past year’s and the current budget, as well as the current annual work-plan</li> <li>• The trail of webpages (breadcrumb trail) from the institutional home page to the page with the above reports (institutional Home page &gt; Section page &gt; Subsection page &gt; etc.)</li> </ul>	
<b>Procurement</b>		
Procurement		
Third-party procurement process verification	<input type="checkbox"/> Independent procurement verification report submitted by third party verification agency	

<p>Timeliness of procurement progress (25% of all procurement contracted by year 1; 55% by year 2, and 100% by year 3, and verification of installation by year 4)</p>	<p><input type="checkbox"/> Procurement progress report with evidence of contracts signed</p>	
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**M&E Templates for DLI Verification**

**INDICATOR 1: No of regional and national students enrolled in new specialized Master, PhD, post-grad, post-doc and/or short-term courses/ programs**



### RECORD OF ACE STUDENT ENROLLMENT

STUDENT NAME	CONTACTS (POST/TEL/EMAIL)	LEVEL <sup>4</sup>	COURSE <sup>5</sup>	NO. OF SEMESTERS <sup>6</sup>	M/F	COUNTRY	REGION <sup>7</sup>

**INDICATOR 2: No. of internationally accredited education programs (with national accreditation and international evaluation counting 50%) (→ Training Quality)**

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<sup>4</sup> Indicate specific degree e.g. PhD, MSc,

<sup>5</sup> Provide actual Programme Title as specified in Project Documents

<sup>6</sup> Indicate how many semesters student has spent in Programme

<sup>7</sup> Indicate whether student is from home country (national), from West and Central Africa (Regional) or from outside Africa (international)

### RECORD OF ACE PROGRAMMES

PROGRAMME TITLE	LEVEL <sup>8</sup>	TYPE OF ACCREDITATION <sup>9</sup>	ACCREDITATION REFERENCE	NAME & CONTACTS OF ACCREDITING AGENCY <sup>10</sup>	DATE OF ACCREDITATION	EXPIRY OF ACCREDITATION

**INDICATOR 3: No. of Students /faculty with at least 1 month internship in a company or a local institution relevant to their field/ sector (→ Outreach)**

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<sup>8</sup> Indicate whether PhD, MSc, Diploma, Short Course, Professional Course

<sup>9</sup> Indicate whether accreditation is international, regional, national accreditation by ISO, Bologna Compliant Programmes, etc.

<sup>10</sup> Provide actual name of agency and contacts (post, email and telephone)

NAME OF INTERN	STUDENT/ FACULTY <sup>1112</sup>	CONTACTS (POST/TEL/EMAIL)	YEAR OF STUDY <sup>12</sup>	PROGRAM ME/ DEPARTME NT	INTERNSHIP DATES		CERTIFICATES, CREDIT ETC. EARNED <sup>13</sup>	NAME OF HOST INSTITUTION	STATUS OF HO INSTITUTION (PUBLIC/PRIVA
					START DATE	END DATE			

<sup>11</sup> Indicate if intern is student or faculty  
<sup>12</sup> Applicable only to student interns and not faculty interns  
<sup>13</sup> Attach detailed internship reports


**RECORD OF INTERNSHIPS**





**INDICATOR 9: No of partnership agreements including a 3-5 year cooperation implementation plan, signed by academic leaders from ACEs and engaged Partner Institutions (→ Outreach/ Regionality)**

**RECORD OF PARTNERSHIPS**

TITLE OF PARTNERSHIP AGREEMENT	PARTNERS (NAMES AND CONTACTS)	TYPE OF PARTNER			AREA(S) OF COLLABORATION	SIGNATURE DATE OF PARTNERSHIP AGREEMENT	EXPIRY OF AGREEMENT	EXPECTED OUTPUTS/ OUTCOMES	RELATED JOINT PROJECTS
		NAT'L	REG'L	INT'L					


**INDICATOR 10: Regular ACE-Programme Implementation team meetings (at least semi-annual) taking place with openly disclosed minutes (on the ACE’s ACE-Programme Website) (→ Admin./Governance Quality)**

**RECORD OF MEETINGS**

DATE OF MEETING	TIME OF MEETING	DURATION OF MEETING	ATTENDANCE NUMBER	MINUTES AVAILABLE <sup>14</sup>		
				ON FILE	WEBSITE	CIRCULAR

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<sup>14</sup> Minutes on file, website or circulated should include list of participants showing names, positions and institutional affiliation




# VI. PROJECT FINANCING

## 5.1 Overview of Chapter

1. **This Financing chapter describes the financing of the project activities.** Financing of the ACEs in Component 1 is designed as a government program to which the World Bank contributes funding. The ACE project uses government and institutional budgets, agreed rules and emphasizes the strengthening of governmental and institutional oversight for its implementation. The program consists of funding to the universities' academic, technical, and administrative staff, other operational costs, and investments into goods, training, services and limited civil works. The World Bank finances an agreed amount of this program if the results are achieved and the agreed fiduciary and safeguards rules and standards are followed. The financing contribution of the governments and institutions will be the value of the estimated salaries and operational costs for the implementation of the ACEs. The amount of credit disbursements will be contingent on the satisfactory achievement of agreed, pre-specified program implementation progress and performance results, referred to as DLIs. Each DLI has a unit disbursement price per unit of result achieved. The reporting and verification of the achievement of the DLIs and disbursements will be done either semi-annually or annually to be determined based upon country and ACE preferences as well as the transaction costs involved in each disbursement. An advance of around 10 percent of the credit amount will be made to countries with no overdue advances in the World Bank portfolio. The disbursements will reimburse the countries for selected project expenditure of the ACE project. These selected expenditures are referred to as Eligible Expenditure Programs (EEPs). The remaining of this chapter details the above project financing summary in the following sections:

- Financing per country and financing source
- The financing modality of the ACEs (Component 1)
- Disbursement and financing available to each ACE
- The eligible expenditure program for each ACE

## 5.2 Financing per country and financing source

2. **IDA allocations will follow the standard practice for regional projects** with up to two-thirds of the IDA amount of the project from the regional pool of IDA and one third (1/3) from the national allocation. Table 5.1 presents the project costs by country with the regional and national IDA breakdown.

**Table 5.1 Project Cost and Financing (in US\$ million equivalent)**

Project Component	Project cost	Total IDA	National IDA	Regional IDA	% IDA Financing
<b>Component 1: Strengthening Africa Centers of Excellence</b>					
Burkina Faso (1 ACE)	16.0	8.0	2.7	5.3	50%
Benin (1 ACE)	16.0	8.0	2.7	5.3	
Cameroon (1 ACE)	16.0	8.0	2.7	5.3	
Ghana (3 ACEs)	48.0	24.0	8.0	16.0	
Nigeria with Regional IDA (7 ACEs)	96.0	48.0	16.1	31.9	
Nigeria with only National IDA (3 ACEs)	41.6	20.8	20.8	-	
Senegal (2 ACEs)	32.0	16.0	5.3	10.7	
Togo (1 ACE)	16.0	8.0	2.7	5.3	
<b>Total Component 1</b>	<b>281.6</b>	<b>140.8</b>	<b>60.9</b>	<b>79.9</b>	
<b>Component 2: Enhancing Regional Capacity, Evaluation and Collaboration</b>					
2.1 Regional Capacity Building, M&E, and facilitation	5.0	5.0	-	5.0	100%
2.2 Project Facilitation in Nigeria	1.2	1.2	1.2		
2.3 Demand-driven regional services – The Gambia	3.0	3.0	1.0	2.0	
<b>Total Component 2</b>	<b>9.2</b>	<b>9.2</b>	<b>2.2</b>	<b>7.0</b>	<b>100%</b>
<b>Total Financing Required</b>	<b>290.8</b>	<b>150.0</b>	<b>63.1</b>	<b>86.9</b>	<b>52%</b>

Note: The countries' contribution to the project cost is the estimated amount required for the salaries of the staff of the ACEs and other university personnel. The currency of the IDA credits is SDRs. The above amounts in USD are the equivalent USD amount of the SDR amounts in the Financing Agreement using the exchange at the time of negotiation with each country.

### 5.3 Financing Modality

3. Financing to the ACEs (component 1) will be results-based, while financing to the AAU, the Nigerian facilitation unit and The Gambia (component 2) will be based upon statement of expenditures. The remaining of this section will present the motivation and elements of the financing modality for Component 1.
4. **The motivation for a results-based approach for the ACEs is:**
  - All focus and implementation efforts go towards generating the agreed results, not just disbursements. In many projects that are financed based upon costs, there is a highly unfortunate tendency to focus on raising disbursements, because this is easily measurable and comparable across projects, while the true results of the project are not focused upon. A results-based financing explicitly links disbursements to results, and therefore disbursements will not take place without the agreed results.

- Results-based financing increases efficiency and value, because it is no longer possible to invest the funding without producing the results.
- For most participating countries, the funding modality would introduce a new funding tool that enhances accountability for results, increase administrative autonomy of the institution to generate the desired results, and align the goals of the institutions with that of the government. □ The funding modality strengthens the country's own fiduciary program and procedures. Often efforts are lost in training, applying and monitoring adherences to project (WB) specific fiduciary procedures. These rules are different from those of the regular government and country funding. The new (WB) set of rules can therefore create confusion and, most importantly, the project does not necessarily foster improved fiduciary capacity and monitoring, even though such capacity is critical for institutional development. Using the results-based funding modality, the project will use acceptable country fiduciary rules, and work to strengthen capacity and oversight in a sustainable manner.
- A results-based financing modality must provide adequate institutional autonomy to invest the financing as required to achieve the results. Institutions therefore gain autonomy and build administrative capacity to produce the results.

#### **The Financing modality elements**

5. The Africa Centers of Excellence is a government program to which the World Bank contributes funding. The ACE program uses government and institutional budgets, government-agreed rules and oversight for its implication. The program consists of funding to the ACE's teaching, researching, technical, and administrative staff, other operational costs for the ACE, and investments into goods, training, services and limited civil works. The World Bank finances an agreed amount of this program if the results are achieved and the agreed fiduciary and safeguards rules are adequately followed. In order to ensure that actual and reasonable expenditures are financed, the World Bank will primarily or exclusive finance the salary or other non-procurable operational costs of the program. The government or the institution will commit themselves, and prove during implementation, that it invests the agreed amounts in the ACE program, notably in the limited civil works, learning equipment, faculty training, etc. as per the agreed ACE implementation plan for each ACE.
6. This financing modality is a cautious step towards a financing modality exclusively based upon results. The World Bank would like to raise the focus on results and the number of projects that achieve its results, while reducing the number of procurement transactions that it takes part in. Therefore, it is moving towards purely results-based financing. However, it is highly concerned with the possibility of corruption, leakages, and inefficient use of its funds. Further, there has to be a gradual learning process of pricing and monitoring results correctly. Therefore, it plans to finance the Africa Centers of Excellence project through investment project financing where the disbursements are linked to indicators. As explained below, the primary factor for disbursements is results, but the World Bank still ensures that it finances actual, necessary, and verifiable costs for the program. The Bank will reimburse program costs that are fiduciary low-transaction costs, such as staff salaries. The investment expenditures for

goods, services and limited civil works, which occasionally entail many transactions and substantial fiduciary risks, are assumed by the government and the institution. That being said, the World Bank will still facilitate and monitor that (i) the agreed investment amounts are available on a timely basis to the government and the institution and (ii) acceptable government and institutional fiduciary and safeguards guidelines are followed. Further, the World Bank will support fiduciary capacity building (but it will not take part in the fiduciary transactions except in special cases where it has been agreed that the expenditure for the procurable item will be part of the Eligible Expenditure Program).

#### **5.4 Disbursements and Financing per ACE**

7. The amount of credit disbursements will be contingent on achievement of results as measured by Disbursement Linked Indicators (DLIs). The DLIs are presented in Table 5.2 which is the model table in USD for all financed ACEs. This model has been adjusted to each ACE as a function of the amount allocated to each ACE and the applicable exchange rate on the date of negotiation of the Financing Agreement. There are four DLIs. Each DLI is allocated an amount which is the ceiling for disbursement under that DLI. The share of financing allocated to each DLI remains the same as the above (10 percent for DLI#1, 80 percent for DLI#2, and 5 percent each for DLI#3 and DLI#4). DLI#2-4 are further broken into Disbursement-Linked Results (DLRs). Both the DLIs and the DLRs are identical across the ACEs.
8. **Exchange rate.** The currency of the IDA credits is SDRs. The above amounts in USD are the equivalent USD amount of the SDR amounts in the Financing Agreement using the exchange at the time of negotiation with each country. The expressing the credits in the SDR currency reduces currency fluctuations and therefore provides more stable financing over the five year period.

**Table 5.2 Model DLI Financing Table for Each ACE**

Disbursement Linked Indicator	Action to be Completed	Amount of the Financing Allocated (expressed in USD equivalent)	Disbursement Calculation Formula (expressed in USD equivalent)
DLI #1: Regional specialization endorsed and institutional readiness	<ul style="list-style-type: none"> <li>The national representative in the Steering Committee has endorsed a resolution to promote regional specialization among Participating Universities</li> <li>Conditions for Effectiveness have been met.</li> </ul>	800,000 (80% of financing)	800,000 (disbursed when all results have been completed)

<p>DLI #2: Excellence in education and research capacity and development impact</p>	<p>DLR#2.1: New short term students in ACE courses of which at least 30% must be regional students.</p> <p>Amounts: 400 per national student, 500 per female student, 800 per regional student, and 1000 per female regional student.</p> <p>DLR#2.2: New Master students in ACE courses of which at least 30% must be regional students</p> <p>Amounts: 2,000 per national student, 2,500 per female student, 4,000 per regional student and 5,000 per regional female student</p> <p>DLR#2.3: New PhD students in ACE courses of which at least 30% must be regional students.</p> <p>Amounts: 10,000 per national student, 12,500 per female student, 20,000 per regional student, and 25,000 per female regional student</p> <p>DLR#2.4: N# of outreach “periods” for faculty, master and PhD students.</p> <p>Amounts: 2,000 per outreach period within the country and 4,000 per outreach period within the region</p> <p>DLR#2.5: International evaluation and accreditation of quality of education programs.</p> <p>Amounts: 600,000 per program internationally accredited; 100,000 per program nationally or regionally accredited; 100,000 per program per gap-assessment certified or undertaken by an international quality assurance agency; 100,000 per program for self-evaluation a satisfactory international standard;</p>	<p>6,400,000 (80% of financing)</p>	<p>DLR#2.1: 400,000</p> <p>DLR#2.2: 400,000</p> <p>DLR# 2.3: 400,000</p> <p>DLR#2.4: 800,000</p> <p>DLR#2.5: 800,000</p>
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<p><b>Disbursement Linked Indicator</b></p>	<p><b>Action to be Completed</b></p>	<p><b>Amount of the Financing Allocated (expressed in USD equivalent)</b></p>	<p><b>Disbursement Calculation Formula (expressed in USD equivalent)</b></p>
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	<p>100,000 per program description meeting international standard</p> <p>DLR#2.6 Published articles in internationally recognized and peer reviewed journals</p> <p>Amounts: 15,000 per article and 30,000 per article with a regional co-author.</p> <p>DLR#2.7: Externally revenue generation</p> <p>Amounts: US\$ 1 per externally generated revenue, and US\$ 2 per externally generated revenue from the region</p> <p>DLR#2.8: Meeting milestones for improved learning and research environment specified in the Performance and Funding contracts.</p> <p>Amount per milestone: 400,000</p>		<p>DLR#2.6: 800,000</p> <p>DLR#2.7: 1,200,000</p> <p>DLR#2.8: 1,600,000</p>
DLI#3 Timely, transparent and institutionally reviewed Financial Management	<p>DLR#3.1: Timely withdrawal application supported by financial reporting for the ACE account for the period</p> <p>DLR#3.2: Functioning Audit Committee under the university council</p> <p>DLR#3.3: Functioning internal audit unit for the university</p> <p>DLR#3.4: Web Transparency on Financial management (web-access to audit reports, interim financial reports, budgets and annual workplan)</p>	400,000 (5% of financing)	<p>DLR#3.1: 25,000 per year</p> <p>DLR#3.2: 25,000 per year</p> <p>DLR#3.3: 25,000 per year</p> <p>DLR#3.4: 25,000 per year</p>
DLI#4 Timely and audited Procurement	<p>DLR# 4.1 Timely procurement audit</p> <p>DLR#4.2: Timely and Satisfactory Procurement Progress</p>	400,000 (5% of financing)	<p>DLR#4.1: 50,000 per year</p> <p>DLR#4.2: 50,000 per year</p>

9. **Reallocation between DLRs within DLI#2.** During implementation each ACE will have flexibility to achieve education and research excellence through completing different combinations of the above education and research results (DLR#2.1-2.7). Therefore, the amounts allocated to each DLR#2.1-2.7 can be adjusted downwards and upwards, with a maximum of 50 percent above the amount allocated to each DLR. For example, for research



publications (DLR#2.6) the above allocated financing amount of US\$800,000 equivalent (10 percent of the financing) can be increased up to a maximum of 50 percent to US\$1,200,000 equivalent (15 percent of the financing). The financing allocated to results for improved learning and research environment (DLR#2.8) is expected to remain fixed. All adjustments to the amount of financing per DLI and DLR, including to DLR#2.1-2.7, will have to be requested by the ACE and approved by the National Review Committee and the World Bank. This is expected to be reviewed at the Mid-term review of the project.

10. The reporting and verification of the achievement of the DLIs is expected to be done annually and disbursement accordingly. In exceptional cases, there will be the option of semi-annual disbursements. This will be decided based upon needs and feasibility, notably the transaction costs involved in each verification and disbursement.
11. Table 5.3-5.5 presents the Financing available to each ACE in SDR amount by DLI and DLR.

**Table 5.3 Nigeria Financing per ACE**

Selected Centers	University of Redeemers	African University of Science and Technology	Federal University of Agriculture	Ahmadu Bello University	University of Jos	University of Benin	Benue State University	Bayero University	Obafemi Awolowo University	University of Port Hartcourt
DLI 1	530,000	530,000	530,000	260,000	530,000	530,000	260,000	260,000	260,000	260,000
DLI 2 Total	4,000,000	4,000,000	4,000,000	2,080,000	4,000,000	4,000,000	3,980,000	3,980,000	3,980,000	2,380,000
DLR 2.1: New PhD students	250,000	250,000	250,000	130,000	250,000	250,000	250,000	250,000	250,000	150,000
DLR 2.2 New Master students	250,000	250,000	250,000	130,000	250,000	250,000	250,000	250,000	250,000	150,000
DLR 2.3 New Short term Students	250,000	250,000	250,000	130,000	250,000	250,000	250,000	250,000	250,000	150,000
DLR 2.4: No of Outreach Periods	510,000	510,000	510,000	260,000	510,000	510,000	500,000	500,000	500,000	300,000
DLR 2.5: Quality Benchmarks	510,000	510,000	510,000	260,000	510,000	510,000	500,000	500,000	500,000	300,000
DLR 2.6: No of published articles	510,000	510,000	510,000	260,000	510,000	510,000	500,000	500,000	500,000	300,000
DLR 2.7: Externally generated revenue	760,000	760,000	760,000	390,000	760,000	760,000	750,000	750,000	750,000	450,000
DLR 2.8 Improved teaching and learning environment	1,010,000	1,010,000	1,010,000	520,000	1,010,000	1,010,000	980,000	980,000	980,000	580,000
DLI 3 : Financial Management	260,000	260,000	260,000	130,000	260,000	260,000	130,000	130,000	130,000	130,000
DLI 4: Procurement	260,000	260,000	260,000	130,000	260,000	260,000	130,000	130,000	130,000	130,000

Total	5,100,000	5,100,000	5,100,000	2,600,000	5,100,000	5,100,000	4,500,000	4,500,000	4,500,000	2,900,000
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**Table 5.4 Ghana Financing per ACE**

Selected Centers	West African Centre for Cell Biology of Infectious Pathogens of the University of Ghana Legon	West Africa Centre for Crop Improvement of the University of Ghana Legon	Regional Centre for Water and Environmental Sanitation of the University of Kwame Nkrumah University of Science and Technology
DLI 1	530,000	530,000	530,000
DLI 2 Total	4,150,000	4,150,000	4,150,000
DLR 2.1: New PhD students	260,000	260,000	260,000
DLR 2.2 New Master students	260,000	260,000	260,000
DLR 2.3 New Short term Students	260,000	260,000	260,000
DLR 2.4: No of Outreach Periods	520,000	520,000	520,000
DLR 2.5: Quality Benchmarks	520,000	520,000	520,000
DLR 2.6: No of published articles	520,000	520,000	520,000
DLR 2.7: Externally generated revenue	780,000	780,000	780,000
DLR 2.8 Improved teaching and learning environment	1,030,000	1,030,000	1,030,000
DLI 3 : Financial Management	260,000	260,000	260,000
DLI 4: Procurement	260,000	260,000	260,000
Total	5,200,000	5,200,000	5,200,000

**Table 5.5 Senegal Financing per ACE**

Selected Centers	University of Dakar Cheikh Anta Diop	University of Saint Louis Gaston Berger
DLI 1	530,000	530,000
DLI 2 Total	4,150,000	4,150,000
DLR 2.1: New PhD students	260,000	260,000
DLR 2.2 New Master students	260,000	260,000
DLR 2.3 New Short term Students	260,000	260,000
DLR 2.4: No of Outreach Periods	520,000	520,000
DLR 2.5: Quality Benchmarks	520,000	520,000
DLR 2.6: No of published articles	520,000	520,000
DLR 2.7: Externally generated revenue	780,000	780,000
DLR 2.8 Improved teaching and learning environment	1,030,000	1,030,000

DLI 3 : Financial Management	260,000	260,000
DLI 4: Procurement	260,000	260,000
Total	5,200,000	5,200,000

**Table 5.6 Benin, Burkina Faso, Cameroon, and Togo Financing per ACE**

	<b>Benin</b>	<b>Burkina Faso</b>	<b>Cameroon</b>	<b>Togo</b>
Selected Center	Université d'Abomey-Calavi	Institut International d'Ingénierie de l'Eau et de l'Environnement 2iE	Université de Yaoundé I	Université de Lomé
DLI 1	530,000	530,000	530,000	530,000
DLI 2 Total	4,250,000	4,150,000	4,150,000	4,150,000
DLR 2.1: New PhD students	270,000	260,000	260,000	260,000
DLR 2.2: New Master students	270,000	260,000	260,000	260,000
DLR 2.3: New Short term Students	270,000	260,000	260,000	260,000
DLR 2.4: No of Outreach Periods	530,000	520,000	520,000	520,000
DLR 2.5: Quality Benchmarks	530,000	520,000	520,000	520,000
DLR 2.6: No of published articles	530,000	520,000	520,000	520,000
DLR 2.7: Externally generated revenue	790,000	780,000	780,000	780,000
DLR 2.8 Improved teaching and learning environment	1,060,000	1,030,000	1,030,000	1,030,000
DLI 3 : Financial Management	260,000	260,000	260,000	260,000
DLI 4: Procurement	260,000	260,000	260,000	260,000
Total	5,300,000	5,200,000	5,200,000	5,200,000

Note: The Financing Agreement for Benin was negotiated in the month of February 2014, while the Financing Agreement was negotiated in the month of March 2014. The applicable SDR-USD exchange rate changed marginally from February 2014 to March 2014. Therefore, the SDR amounts for Benin differ marginally from those of the other countries. The amounts in USD equivalent were the same.

## 5.5 Eligible Expenditure Program

12. **Credit disbursements will reimburse the Eligible Expenditure Program (EEP).** Total project costs will consists of: (i) the investment items in the Implementation Plan, which will detailed in annual work plans to be approved by the respective National Review Committees and the World Bank on an annual basis; (ii) staff salaries for the ACE and supported functions including administrative and technical personnel, and (iii) other relevant recurrent cots such as communication and utilities. For each of the ACEs, a subset of these costs will be defined as the Eligible Expenditure program. Each disbursement from the World Bank will reimburse the country for EEPs in the amount determined by the DLIs (as laid out in the above section). In no instances, can the disbursement exceed the amount of the expenditures in the submitted EEPs.

13. In order for expenditures to form part of the EEPs, the expenditure must be:

- Included in this operational manual as part of the EEP for that ACE. The EEP for each institution can be changed subject to approval by the government and the World Bank.
- For expenditures for goods, works and non-consulting services, the item must have been procured according to the procurement Guidelines: Procurement of Goods, Works and Non-consulting Services under IBRD Loans and IDA Credits and Grants by World Bank Borrowers” dated January 2011.
- For consultant services, the selection must have been carried out in the accordance with the “Consultant Guidelines” means the “Guidelines: Selection and Employment of Consultants under IBRD Loans and IDA Credits and Grants by World Bank Borrowers” dated January 2011.

### For Nigeria

Selected Centers	University of Redeemers	African University of Science and Technology	Federal University of Agriculture	Ahmadu Bello University	University of Jos
EEPs	Personel Costs	Emoluments to the resident faculty in the departments of Pure and Applied Mathematics, Petroleum Engineering, Theoretical Physics, Computer Science, Materials Science and Engineering, and General	Total university recurrent costs	Personnel costs <sup>15</sup> Staff allowances	To be defined

<sup>15</sup> This includes personell cost and pension

		Innovation Courses			
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Selected Centers	University of Benin	Benue State University	Bayero University	Obafemi Awolowo University	University of Port Hartcourt
EEPs	Personell cost for school of Basic Medicine <sup>16</sup>	□ Personnel costs for the Department of Biology, Chemistry, Math's, Computer and Physics	<ul style="list-style-type: none"> <li>• Total Personnel costs for the Faculty of Agriculture</li> <li>• Total Personnel costs for the Center of Dryland Agriculture</li> <li>• 5% of Total Personnel costs for the administration and library</li> </ul>	Salaries of the faculty of Science Technology Pharmacy, Health Sciences, Agriculture, , Institute of Science Policy and Innovation, ,Entrep eneurship and Development Studies and Ecology and Environmental studies	<ul style="list-style-type: none"> <li>• Personnel costs for Professor, Assistant Professors and and senior lecturers at the Institute of Petroleum Studies</li> <li>• Administration staff salaries at the Institute of Petroleum Studies</li> </ul>

Pure and Applied Mathematics, Petroleum Engineering, Theoretical Physics, Computer Science, Materials Science and Engineering, and General Innovation Courses

### For Benin, Burkina Faso, Cameroon and Togo

Selected Centers	Abomey Calavi	2iE	University Yaounde 1	University of Lome
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<sup>16</sup> This includes Anatomy, Physiology, Medicine, Biochemisty and Nursing

EEPs	To be defined	To be defined	<ul style="list-style-type: none"> <li>• Personnel cost for professors, associate professors, senior lecturers</li> <li>• research engineers</li> <li>• postdocs fellows</li> <li>• Administration staff salaries</li> <li>• Emolument to the staff of the project management unit</li> <li>• Recurrent costs</li> </ul>	To be defined
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**For Ghana and Senegal**

Selecte d Centers	University of Ghana-Legon	Kwame Nkrumah University of Science and Technology	University of Gaston of Berger	University Cheick Anta Diop
EEPs	Total wage bill <sup>17</sup> for College of Agriculture and College of Medicine, School of Applied Health and College of Health Science	To be defined	Salaire dans le budget de l'université (incluant les indemnités)	Salaire dans le budget de l'université (incluant les indemnités)

<sup>17</sup> Total wage bill includes salaries, allowances, total benefits and pensions



## **VII. FINANCIAL MANAGEMENT AND DISBURSEMENT**

#### **General Guidelines for process for first disbursement for the Africa Centers of Excellence**

14. The first withdrawal application is based upon achievement of DLI 1. Following the disbursement process described in the Operations Manual and recent experience with Burkina's disbursement process, kindly find below the disbursement process that each ACE will need to go through.
15. Step 1: The Government through the National Review Committee will review and submit information to the World Bank with copy to the AAU regarding the achievement of the preparation and qualification results (DLI 1 – Year 0). DLI is (a) The national representative in the Steering Committee has endorsed a resolution to promote regional specialization among Participating Universities and (b) Conditions for Effectiveness have been met.
16. Step 2: Each ACE must ensure that the appropriate documents are provided to AAU (responsible independent verification agency) who will provide a letter to the WB confirming that DLI 1 has been met.
17. This information will be supplemented with expenditures in the Eligible Expenditure Program (primarily salaries). This first disbursement is planned to amount to 10% of the agreed ACE support.
18. Step 3: Obtain letter from independent verification agency (AAU) that DLI 1 has been met. AAU will independently verify that DLI 1 has been met following submission from ACE, AAU with copy to WB of (1). Signed resolution/declaration of intent promoting regional specialization and (2). Evidence of being declared effective by WB (Signed letter declaring country x, meeting all effectiveness conditions). AAU will then provide letter independently verifying the achievement of DLI1. Attached is sample letter provided by AAU to WB and Govt

19. Step 4 : Following the obtaining of evidence on achieving DLI1, log in to client connection to submit withdrawal application for the amount of the DLI1 which is SDR 530,000 using the form 2380 accessible through Client Connection (<https://clientconnection.worldbank.org>). and accompanied with the approved resolution as per DLI1 in schedule 4 of the financing agreement and the details of the bank account where the reimbursement will be sent to. Include in the application (i) the AAU letter certifying achievement of DLI1 and (ii) the EEP , ie salaries of staff related to ACE/2iE upon which the WB will reimburse
20. Step 5 : Following successful processing of the first withdrawal application, another Withdrawal application for the first advance-15% of DLI2 can be requested using again form 2380 accompanied with the DA payment instructions.
21. Step 6 for the second withdrawal application only ACEs from Benin, Burkina, Cameroon, Senegal and Ghana can submit an advance withdrawal application into their Designated Account for 15% of the DLI2.1 through DLI2.8 which is 15% of 4,150,000 = SDR 622,500 as allowed for in their countries respective financing agreements.
22. Step 7: The funds flow through which the disbursement is made from World Bank to respective country/ACE is different for each country. Below is the expected step process for each respective country based on negotiations and signed financing agreements and disbursement letters
  - a) In some countries the World Bank will transfer first to the Ministry of Finance who then will transfer the funds using the regular budget process to the ACE account at the university level.
  - b) For private universities in Nigeria the funds will be transferred directly to the Ministry of Finance who the will transfer the funds using the regular budget process to the ACE account at the university level.

### **Funds Flow Arrangements**

23. Bank Accounts: The following bank accounts will be opened for the ACE implementing entities:
24.
  - (a) **Project Account** will be opened for funds to be received by the ACE sent by the Ministry of Finance or funds received in a DA denominated in foreign currency and there is need to open an account in local currency to make payments in that currency. The Project Account will be opened at a commercial bank acceptable to the IDA or the Central Bank depending on national and university procedures/guidelines. This account will also serve as the depository for government counterpart fund contributions were applicable. Funds sent to the ACE Project Account will be used for ACE eligible investments.
25. There will be at least two signatories required for each approved payment from the above accounts subject to national and university procedures/guidelines. The two signatories should come from two categories. The first category should comprise of the project's management and the second, the staff accounting for the project's funds. The signatories will be

communicated to the IDA together with the bank account details after the signing of the project but before the project's effectiveness. The funds from both bank accounts must be used only for eligible expenditures.

#### Summary of Funds Flow

	Funds Received			
ACE	DA cy curren	Location of DA	Directly from IDA to ACE	Through Ministry of Finance to ACE
Institut International d'Ingénierie de l'Eau et de l'Environnement (2IE)	F CFA	Central Bank		♣
University of d'Abomey-Calavi	F CFA	Central Bank		♣
University of Yaounde 1 (UY1)	F CFA	Central Bank		♣
University of Cheikh Anta Diop, Senegal	F CFA	Central Bank		♣
University of Lome, Togo	F CFA	Central Bank		♣
University of Ghana (UG)	USD	Central Bank		♣
	Funds Received			
ACE	DA cy curre	Location of DA	Directly from IDA to ACE	Through Ministry of Finance to ACE
University of Ghana (UG)	USD	Central Bank		♣
Kwame Nkrumah University of Science & Technology (KNUST)	USD	Central Bank		♣
Redeemers University, Mowe, Ogun State	USD	Commercia Bank	♣	
African University of Science and Technology, Abuja, Nigeria	USD	Commercia Bank	♣	
Federal University of Agriculture, Abeokuta, Nigeria	USD	Central Bank		♣
Ahmadu Bello University, Zaria, Nigeria	USD	Central Bank		♣
University of Jos, Nigeria	USD	Central Bank		♣

University of Benin, Nigeria		Central Bank		♣
University of Port Harcourt, Nigeria	USD	Central Bank		♣
The PCU at Ministry of Basic and Secondary Education (MOBSE)	USD	Commercial Bank	♣	
Regional Facilitation Unit (RFU) based at the Association of African Universities (AAU)	USD	Commercial Bank	♣	



## **ANNEX 1a: Terms of Reference for ACE Steering Committee (SC)**

### **I. INTRODUCTION Background Information**

1. The World Bank is developing a regional higher education project to promote regional specialization among participating universities within areas that address particular common regional development challenges and strengthen the capacities of these universities to deliver high quality training and applied research. The higher order objective of the project is to meet the demand for skills required for Africa's development, such as the extractive industries, agriculture productivity and health. Further, the project would contribute to the strengthening of the best African universities within science based education such as natural sciences, hard sciences, life sciences and applied associated disciplines. The project expects to cover 5-7 countries across Western and Central Africa as phase I and potentially Eastern and Southern Africa as Phase II.

### **Institutional and implementation arrangements**

2. The Project will be implemented by the selected ACEs, with project facilitation and coordination support from the Regional Facilitation Unit (RFU) and technical assistance from selected consultants as necessary. The individual ACE is responsible for strategic planning and implementation of their institutional proposal, monitoring, evaluation and reporting. The ACE will also be responsible for all fiduciary aspects required under World Bank guidelines for financial management, procurement and environment and social safeguards. The Regional

Facilitation Unit is a regional body with at least 4 number of professional staff established in the secretariat that deals with Project coordination and facilitation, support to ACEs for monitoring and evaluation and give technical assistance as requested. The project will operate under the overall guidance and oversight of the ACE Steering Committee (PSC) whose main task is to set provide project overall guidance review results and progress of the overall project, oversee the RFU and assist ACEs to ensure the achievement of the project objectives.

3. Project implementation support and supervision at the national level would be undertaken by the National Project Performance and Review Committee. The fiduciary capacity available within higher education or related project would provide implementation support and possibly oversight for the ACE. Further, the ACE project would to the extent feasible, use the same fiduciary procedures as in the closely related World Bank project. Detailed Terms of Reference for the implementation arrangements are provided in the Operation Manual.)
4. **Establishment of the ACE Steering Committee** As part of project preparation, the governments, ECOWAS, World Bank in consultation with other stakeholders will be establishing a Steering Committee (SC). The SC so formed will designate a non-governmental representative to be its Chairperson and regulate its own activities under the mandate given in the project documentation.
5. **Composition of the ACE Steering Committee:** The PSC will compose of the following members:
  - Representation of government/Ministry of Higher Education of each ACE host country from the participating countries (7 representatives)
  - Representation from the non-ACE participating countries (1 or 2 rotating representative)
  - Representation by academic experts (outside of the ACEs) of international stature representing the disciplines covered under this program. (2 academicians)
  - Representatives from the private sector (3 private sector representatives)
  - Representatives of the ACEs (1 -2 Vice chancellor representing the selected ACEs)
  - Representative from ECOWAS (1)
6. Each member will receive an appointment letter, and be nominated by government. The member of the project steering committee will serve during the preparation and implementation of the project and be reviewed at mid-term.

### **Mandate**

7. The mandate of the PSC will be to review and provide guidance on the overall results and progress at the regional level and take actions to improve benefit of the project to the region. It will also receive and review reports, work plans and budgets funded under Component 2 from the Regional Facilitation Unit and provide policy guidance and instructions that it considers necessary and helpful for the good conduct of the project. In doing so the Committee will keep in mind the agreements entered into between parties pertaining to the ACE project.



8. The Project Steering Committee will also be responsible for advocating for regional collaboration and higher education, and act as a liaison between the Program and regional leadership as well as with the public at large
9. The PSC decides on the overall priorities of the Project in accordance with the programme documents, World Bank financing agreement, operational manual and other legal documents. The PSC cannot alter overall programme objectives, but may recommend changes in immediate objectives, but where deviations from the programme support document are considered necessary; the PSC takes the required decisions.

**The specific tasks of the PSC comprise:**

10. Overall Guidance

- Strategic decisions to ensure the continued coherence between the programme support and sector development and regional development priorities
- Decisions concerning deviations from the programme support document Evaluation
- Consider the findings and recommendations of the IEC (as facilitated by the RFU) in making the final selection of the ACEs

Implementation

- Review and guide the of overall progress of the programme with a special focus on delays, problems and bottlenecks (approval of progress and financial reports, decisions on followup activities presented by RFU)
- Overseeing the implementation of cross-cutting issues as identified in the programme support document, e.g gender and diversity,
- facilitate to the extent possible national, regional, and international networking and outreach activities for the program as a whole;

Component 2.2: Support to non-ACE hosting countries

- review the extent and performance of ACE collaboration to the extent possible
- review and guide university industry linkages to the extent possible
- review and approve capacity building plan of component 2.2
- Overseeing audits (approval of the annual audit, overseeing follow-up on recommendations in the annual audit report presented by RFU)

□

**11. Working procedures**

- The PSC meetings will be chaired by a Chair Person who will represent the business community within the sub-region and a have experience within the STEM, health sciences and/or agriculture sciences
- Procedures for joint decision-making shall be made by majority
- The PSC meets twice a year, but extraordinary meetings may be called at the request of the chair and in communication with the RFU and TTL

- Notice and procedures for announcing meetings -The regular meeting of the PSC will be announced by the RFU Project Facilitator (who will serve as secretary to the PSC) with at least four weeks' notice. All documentation for the meetings (plan/budget, reports, proposals for adjustments, etc.) shall be distributed to the members at least one week in advance together with a draft agenda). The World Bank will provide comments to the RFU on the PSC agenda at least two weeks before the meeting.
- The Project Facilitator will be responsible for drafting the minutes of the PSC meetings and distributing these to all participants within a week after the meeting.
- The PSC approves the minutes at the next meeting. These and other documents must be presented by the Project Facilitator in a brief, concise and executive form to facilitate the strategic decision making by the PSC.

### Working conditions

12. The PSC will have an appropriate budget under Component 2 to perform its functions. Members of the Program Steering Committee will all have a reasonable travel expenditure covered and per diem but not receive honorarium.

### Selection Criteria

13. Selection will be done following widely circulated call of nominations from participating countries and key institutions

Table 1: Members of ACE Steering Committee as of April 2014

Name	Title and Sector	Country/Organization	Email Contact
Professor Mahama Duwiejia	Executive Secretary of National Council for Tertiary Education	Ghana	mahama_duwiejia@yahoo.com
Dr Salifou Ouiminga	Directeur Recherche et Coopération Universitaire	Burkina Faso	salifou_ouiminga@univ-ouaga.bf; Salif0477@yahoo.com
Professeur Messanvi Gbeassor	Directeur national de la recherche scientifique et technique	Togo	mgbeassor@yahoo.fr
Professor Jeane Claude T Codija	Enseignant Chercheur a l'universite d'Abomey-Calavi	Benin	jtccodjia@yahoo.fr
Professor Aminata Sall Diallo	Conseiller Technique	Senegal	asdiallo50@gmail.com
Professeur Marcel Fouda	Conseiller Technique	Cameroon	marcel.fouda@yahoo.fr

Professor Julius Okoje	Professor, Executive Secretary of NUC	Nigeria	okojie_julius@yahoo.com
Cherno Omary Barry	Permanenet Secretary	The Gambia	mohesrt@cobarry.org
Mr Roland Kouakou	Principal Programme Officer in charge of Science and Technology	ECOWAS	rolandkouakou1966@gmail.com
Dr Irene Annor-Frempong	Director, Capacity Strengthening, Agriculture Academic and FARA	Agriculture Academic	<a href="mailto:ifrempong@fara-africa.org">ifrempong@fara-africa.org</a>
Didier Acoutey	President, AfricSearch	Private Sector representative	Dacoutey@africsearch.com
Dr. Tewfik Nawar	MD, M.SC.,FRCP 9C) FASN Professeur émérite Faculté de Médecine, Université de Sherbrooke CHUS, Sherbrooke (Que), Canada J1H 5N4	Health sector representative	Tewfik.Nawar@USherbrooke.ca

## **ANNEX 1b: Terms of Reference of National Review Committee**

### **II. INTRODUCTION**

#### **Background Information**

The World Bank is developing a regional higher education project to promote regional specialization among participating universities within areas that address particular common regional development challenges and strengthen the capacities of these universities to deliver high quality training and applied research. The higher order objective of the project is to meet the demand for skills required for Africa's development, such as the extractive industries and agriculture productivity. Further, the project would contribute to the strengthening of the best African universities within science based education such as natural sciences, hard sciences, life sciences and applied associated disciplines. The project covers eight countries across Western and Central Africa as phase I and potentially Eastern and Southern Africa as Phase II.

#### **Institutional and implementation arrangements**

The Project will be implemented by the selected ACEs, with project facilitation and coordination support from the Regional Facilitation Unit (RFU) and technical assistance from selected consultants as necessary. The individual ACE is responsible for strategic planning and implementation of their institutional proposal, monitoring, evaluation and reporting. The ACE will also be responsible for all fiduciary aspects required under World Bank guidelines for financial management, procurement and environment and social safeguards. The Regional Facilitation Unit is a regional body with at least 4 number of professional staff established in the secretariat that deals with Project coordination and facilitation, support to ACEs for monitoring and evaluation and various technical assistance as necessary. The project will operate under the overall guidance and oversight of a Project Steering Committee (PSC) whose main task is to set implementation guidelines, review results and progress, oversee the RFU and assist ACEs to ensure the achievement of the project objectives.

Project implementation support and supervision at the national level would be undertaken by the National Project Performance and Review Committee. The fiduciary capacity available within higher education or related project would provide implementation support and possibly oversight for the ACE. Further, the ACE project would to the extent feasible, use the same fiduciary procedures as in the closely related project.

### **Establishment of the National Review Committee**

As part of project preparation, the national concerned government together with World Bank in consultation with national stakeholders will establish a National Review Committee.

### **Composition of National Review Committee**

Composition of the national committee will be such that it will have representation from the lead agency responsible for higher education, related Ministry of the selected ACEs, Ministry of Finance and the selected ACEs. The National Committee will have approximately 3-5 members:

- (i) representatives of the government/Ministry of Higher Education of each ACE host country (this is the same representative who sits in the Project Steering Committee)
- (ii) Representative from the Ministry of Finance
- (iii) Representatives from related line ministries of the selected ACEs
- (iv) Representative from the selected ACEs (ACE Center Leaders and Head of Institution)
- (v) WB co-TTL (observer status)
- (vi) RFU Regional Project Facilitator or designate (observer status)

Each member will receive an appointment letter to be a member of the National Review Committee to serve during the lifetime of the project

### **Mandate**

The mandate of the National Review Committee will be to receive and review reports, work plans and budgets funded under Component 1 for the ACE(s) in that country.

### **Scope of work of NRC**

The National Review Committee will be to define priorities, oversee project implementation and approve annual work plan, procurement plan and the budgets for the ACEs in that country; **The specific tasks of the National Committee comprise:**

- Undertake annual performance and progress reviews for the selected ACEs
- Approve annual work plans for the coming year including budget plans, and procurement plans for each ACE(s)
- Overseeing audits (approval of the terms of reference for the annual audit, overseeing follow-up on recommendations in the annual audit report presented by the selected ACEs)
- Review the adherence of national procurement and financial management guidelines for each ACE(s)
- Approve DLI results and related withdrawals applications
- Discuss alignment to national strategies
- Outline good practices
- Recommend changes to project operational manual and decision for the PSC
- Monitoring of overall progress of the programme with a special focus on delays, problems and bottlenecks (approval of progress and financial reports, decisions on follow-up activities presented by the selected ACEs)

### **Working procedures**

- The meetings will be chaired by a Chair Person who will be selected by the minister in charge of higher education or Director/Executive Secretary of agency responsible for higher education
- Procedures for joint decision-making shall be made by consensus
- The committee meets twice a year or according to needs, but extraordinary meetings may be called at the request of the chair
- Notice and procedures for announcing meetings -The regular meeting of the NC will be announced by the Chair of the NC with at least two weeks' notice. All documentation for the meetings (plan/budget, reports, proposals for adjustments, etc.) shall be distributed to the members at least one week in advance together with a draft agenda)
- Each ACE submits performance report with DLIs , implementation report and proposed annual work plan
- RFU submits (if requested) DLI verification data

### **Working conditions**

- The ACE representatives will pay for their own travel and expenses through the project, with RFU out of component 2 and the government representatives will be financed through the RFU or government financed.
- The Regional Facilitation Unit (Association of African Universities) will provide some funds to cover operational costs of national review committees in all countries in the project except for Nigeria and The Gambia as both of these countries have existing mechanisms under the project to support their national committees. Specifically the Nigeria Universities Commission in Nigeria and Project Coordinating Unit in The Gambia. For the remaining countries ; Benin, Burkina Faso, Cameroon, Ghana, Senegal and Togo, AAU will pay for the costs associated with national review committee meetings. These costs include:
  - Travel costs including travel, accommodation and per diems
  - Participation costs of no more than \$50 per person per meeting. Following each meeting minutes will be presented together with signed attendance sheet for payment

- All payments will be paid through AAU to the review committee, the mechanism will include direct payments for flights and accommodation costs related to national review meetings and transfers for per diem and meeting fees
- At least 2 weeks' notice should be provided to AAU when planning the meetings

The project will not pay honorarium to the committee members.

## **ANNEX 2: Regional Facilitation Unit-Terms of Reference**

### **I. INTRODUCTION**

#### **Background Information**

1. The World Bank is developing a regional higher education project to promote regional specialization among participating universities within areas that address particular common regional development challenges and strengthen the capacities of these universities to deliver high quality training and applied research. The higher order objective of the project is to meet the demand for skills required for Africa's development, such as the extractive industries and agriculture productivity. Further, the project would contribute to the strengthening of the best African universities within science based education such as natural sciences, hard sciences, life sciences and applied associated disciplines. The project expects to cover 7 countries across Western and Central Africa as phase I and potentially Eastern and Southern Africa as Phase II.

#### **Institutional and implementation arrangements**

2. The Project will be implemented by the selected ACEs, with project facilitation and coordination support from the Regional Facilitation Unit (RFU) and technical assistance from selected consultants as necessary. The individual ACE is responsible for strategic planning and implementation of their institutional proposal, monitoring, evaluation and reporting. The ACE will also be responsible for all fiduciary aspects required under World Bank guidelines for financial management, procurement and environment and social safeguards. The Regional

Facilitation Unit is a regional body with at least 4 number of professional staff established in the secretariat that deals with Project coordination and facilitation, support to ACEs for monitoring and evaluation and various technical assistance as necessary. The project will operate under the overall guidance and oversight of a Project Steering Committee (PSC) whose main task is to set implementation guidelines, review results and progress, oversee the RFU and assist ACEs to ensure the achievement of the project objectives.

3. Project implementation support and supervision at the national level would be undertaken by the National Project Performance and Review Committee. The fiduciary capacity available within higher education or related project would provide implementation support and possibly oversight for the ACE. Further, the ACE project would to the extent feasible, use the same fiduciary procedures as in the closely related project.

## **Objectives**

4. Given the regional nature of the project, the project requires a Regional Facilitation Unit (RFU) to coordinate and facilitate regional activities to the ACE, partner institutions and be responsible for implementing regional activities for non-ACE countries participating in the project. The RFS will not implement or compete with the ACEs in implementation of the project, rather the RFS will work in close collaboration with the ACEs to ensure smooth operation of the project and will support the implementation of project through:
  - vi. facilitate the selection of the ACEs and other project preparation activities
  - vii. ensure effective and efficient coordination and facilitation of regional project activities
  - viii. support the monitoring and evaluation needs of the selected ACEs as well as aggregated M&E needs of the overall project
  - ix. support to the Project Steering Committee in delivering its tasks and
  - x. provide capacity building support and facilitate provision of tertiary education services to non-ACE member citizens on demand.

## **II. SCOPE OF WORK**

5. Specifically the Regional Facilitation Unit role will be to support the project through:
6. Preparation Phase: during this phase the RFU will
  - (v) Coordinate and facilitate the selection and evaluation process of the ACEs
  - (vi) support preparation of MoUs for ACEs with partner institutions
  - (vii) undertake baseline study for project results framework (viii) Support the set-up of the project steering committee
7. Implement component 2 of the project ie regional project coordination, monitoring and evaluation and tertiary education support to non-ACE countries. Tasks include:

- (xi) support the capacity building, knowledge sharing and coordination between the ACEs and partner institutions through joint lessons learning and capacity building events
  - (xii) serve as the facilitation secretariat between the different project stakeholders including supporting the coordination between the ACEs with concerned Ministries/ Departments of national Governments and the World Bank,
  - (xiii) administer scholarships to ACE countries in requested thematic areas
  - (xiv) be responsible for overseeing implementation of cross-cutting intervention tasks such as policy studies for regional mobility and other relevant tertiary education issues
  - (xv) organizing two annual supervision missions;
  - (xvi) quarterly meetings between ACEs and Regional Facilitation Secretariat.
  - (xvii) prior to the supervision missions, semi-annual reports on Project implementation will be prepared by the ACEs with the support of the Facilitation Secretariat.
  - (xviii) coordinate and fund the activities of the Project Steering Committee, including facilitating the bi-annual PSC meetings.
  - (xix) support the provision of technical assistance to ACEs in thematic and other tertiary education areas as requested
  - (xx) Manage a pool of funds for countries who do not have ACEs to buy educational services from ACEs
8. Provide Monitoring and Evaluation support to the ACEs in particular: (viii) overall data collection for monitoring and evaluation
- (ix) support in M&E activities including report updating
  - (x) aggregating reports from all the ACEs into one
  - (xi) guide the operations of Monitoring and Evaluation Specialists in ACEs and Partner institutions through providing advice and operating as a support role for issues/problems and solutions) raised by ACEs and partner institutions,
  - (xii) Support the development of procedures for regular monitoring of performance of Project Institutions,
  - (xiii) Conduct/ commission impact evaluation of training programmes and various types of other studies, and disseminate the findings, and
  - (xiv) Publish on its website results of all national level selections, findings from monitoring and evaluation studies and such other information as required under Disclosure Management Framework.

### **Staffing**

9. The Secretariat will have a team that is selected to assist in the tasks outlined above. The team is expected to include a Project Facilitator dealing with the Project, and adequate key and support staff including a finance officer, procurement officer, and monitoring and evaluation officer.



### **III. REQUIRED QUALIFICATION**

10. The Regional Facilitation Unit will be selected as a regional organization (to be identified as part of project preparation) which is involved in capacity building in Africa and one that has credibility within the higher education community. The Regional Facilitation Unit will have to be a body that has a regional reach, cuts across the disciplines, is not a beneficiary itself and has extensive capacity building and higher education experience. The RFU will be selected from among regional organizations involved in capacity building in Africa according to the following criteria:
  - (i) experience in managing donor funds;
  - (ii) long term mandate in higher education
  - (iii) established working relationships with higher education institutions;
  - (iv) evidence of experience in working across sectors;
  - (v) evidence (based on due diligence assessment) of well established fiduciary capacity or a credible plan to build such a capacity (procurement, FM, environment)
  - (vi) evidence of regional coverage across thematic areas.
  - (vii) ability to work in French and English
  - (viii) Experience with project implementation and coordination
  
11. Based on the above requirements, the Bank has selected the Association of African Universities as the organization to host the Regional Facilitation Unit. Based upon performance of phase I of the terms of reference, the RFU will continue to be hosted within the AAU for the remainder of the project implementation phase of the project.

## **ANNEX 3: Partnership Agreement Template**

### **1. Identification of Partners**

1. This Partnership Agreement (“PA”) is entered into on (insert date) by and between (list all partners engaged with the ACE project):

(Partner 1), a (insert type of organization e.g. public university) based at (insert address)

(Partner 2), a (insert type of organization e.g. public university) based at (insert address)

(Partner 3), a (insert type of organization e.g. sector partner) based at (insert address) (Partner 4),

a (insert type of organization e.g. sector partner) based at (insert address)

2. The parties are herein individually and jointly referred to as the ‘partner’ and the ‘partners’ respectively.

### **WHEREAS:**

- 1.1 (Partner 1) and (Partner 2) are institutions of higher education, and (Partner 3) is a (e.g. private health clinic) taking an active part in (list overall project activities – e.g. joint research, curriculum development, faculty exchange, student exchange etc.), within the context of the Africa Centers for Excellence project and that project’s objectives, set out in Section 2 below.
- 1.2 The government of (insert country name) has offered the partners a grant amounting to \$(insert amount) to support the project, subject to the terms and conditions detailed in the Performance and Funding Contract (refer to separate document shared with all partners).
- 1.3 (Partner 1), as the Africa Center of Excellence (ACE), and lead partner, has accepted this grant on behalf of the partners.
- 1.4 The partners wish to enter into this Partnership Agreement in order to set out their respective rights and obligations under this arrangement.

### **3. Context of the Partnership Agreement**

- 3.1. The objective of the Africa Centers of Excellence project is to promote regional specialization among participating universities in areas that address regional development challenges and strengthen the capacities of these universities to deliver quality training and applied research. The overall development objective of the project is to meet the labor market demands for skills within specific areas where there are skill shortages affecting development, economic growth and poverty reduction.
- 3.2. Partnership is a key modality of regional collaboration. The award specifies that at least 15% of project funding must be invested in partnerships, and at least 10% must be invested in partnerships activities with African partners (excluding national partners). The ACE is

required to serve as a hub for a network of partner institutions including academic and industry partners.

- 3.3. The main objectives of the academic partnership are to; raise the quality of research and education in institutions in the region and; to raise the ACE's own capacity in research and education.

#### **4. Objectives and Scope of the Partnership Agreement**

- 4.1. The strategic objective of this Partnership Agreement is to contribute towards the shared project goal (outlined in section 2.1); to promote regional specialization among participating universities in areas that address regional development challenges and strengthen the capacities of these universities to deliver quality training and applied research.
- 4.2. At the operational level, this Partnership Agreement seeks to facilitate and to enhance academic cooperation and sharing of resources to deliver the agreed partnership activities (see Annex 1 below) towards the achievement of the project objectives.
- 4.3. This Partnership Agreement is not a legally binding contract, but rather a framework document underpinning a collaborative partnership between the respective institutions.

#### **5. Governance, roles and responsibilities.**

- 5.1. By virtue of the inter-institutional nature of this partnership, the partners' senior management teams shall commit themselves to the principles and approaches embodied in this Partnership Agreement, as well as its requirements and implications, to enable wellinformed and supportive decision-making that facilitates its implementation.
- 5.2. For purposes of expediting the effective coordination and implementation of the activities covered by this Partnership Agreement, the partners shall nominate authorized representatives (Annex 2). The lead project contacts will participate in the project management group established by the ACE, to oversee the implementation of this Partnership Agreement.
- 5.3. As the ACE is the lead partner in this agreement, the ACE will take responsibility for:
  - (a) Convening regular meetings (insert frequency) of the partners and circulating the relevant documentation in advance of the meeting. Meetings will normally take place using ICT, to be cost-efficient, except when a physical meeting is necessary.
  - (b) Financial management on behalf of the partners in accordance with the agreed project guidelines and project budget (Annex 3).
  - (c) Oversight of the implementation of the Partnership Action Plan (Annex 1).
  - (d) Compiling the annual project report with input from all partners, including reporting against agreed indicators, activity reporting, financial and qualitative reporting.
  - (e) Discussing and resolving any issues with the partners as they arise.
- 5.4. (Insert name of Partners 2, 3, 4, etc. If their responsibilities differ, insert additional sections) will take responsibility for:
  - (a) Participating in regular meetings of the partners.
  - (b) Complying with the agreed budget for partnership activities.

- (c) Deliverables as outlined in the Partnership Action Plan (Annex 2).
- (d) Contribution to the annual report, and review and sign off on the annual report. (e) Discussing and resolving any issues with the partners as they arise.

## **6. Financial Management**

- 6.1. The ACE is responsible for project financial management, including budgeting, expenditure and accounting. This includes specific responsibility for ensuring that 15% of project funding is spent on partnership activities as agreed in the Partnership Action Plan and project budget. The ACE is required to solicit concurrence from all partners for the expenditures.
- 6.2. Each partner is responsible for deliverables in accordance with the agreed Partnership Action Plan (Annex 1) and the project budget.

## **7. Monitoring and Evaluation**

- 7.1. The partners shall inform one another about progress made, and challenges, in respect of each joint activity at regular meetings of the partners.
- 7.2. ACEs will be funded based on achievement of results that are annually reported (DLIs). The Partnership Action Plan captures partnership deliverables that will contribute towards those results. Partners agree to work together towards these results and or results relating to the attainment of DLIs.
- 7.3. The ACE will compile an annual report which will include reporting against indicators, activity reporting, financial and qualitative reporting. Each partner will provide the ACE with inputs for this report on request, following sufficient notice of requirements. The annual reports must be endorsed and signed off by all partners and the final version published and circulated to all partners.
- 7.4. Each year the partners shall review the operation of this Partnership Agreement and revise the specific collaborative activities and commitments for the upcoming year in line with the outcomes of the review.
- 7.5. The partners agree on the following additional monitoring procedures which will contribute to the review and development of the partnership:
  - (i) Insert details here as needed
  - (ii) Insert details here as needed

## **8. Intellectual Property**

- 8.1. Ownership of any intellectual property (including but not limited to confidential information, know-how, patents, copyrights, design rights, rights relating to computer software, and any other industrial or intellectual property rights) developed or created by the students and faculty as a result of joint research or education activity during the course of this project shall be vested in both partners to this agreement. Partners shall have the joint right to determine the commercial exploitation and disposition of such intellectual property, and partners shall enter in good faith discussions in order to make joint

applications for the registration of the same. Before any registration or commercialization of any intellectual property takes place, the partners agree to reach a separate agreement covering issues such as exploitation rights and revenue sharing. Any publication regarding such intellectual property shall only be possible with the prior written consent of all partners, with the understanding that such consent should not be unreasonably withheld.

## **9. Confidentiality**

- 9.1. All confidential information disclosed in writing and clearly marked “Confidential” by one partner to the others relating to this Partnership Agreement shall be kept confidential, and the partners shall under no circumstances disclose this information to any third party without prior written consent of all partners except when the provisions of law make allowance.

## **10. Liability**

- 10.1. Each partner undertakes to perform its part of the project at its own risk and under its own sole liabilities.

## **11. Initiation and Termination of the Partnership Agreement.**

- 11.1. This Partnership Agreement will come into force on the date that it is fully signed by all partners (see Section 1, above) and shall remain in force for the duration of the Africa Centers of Excellence project, from (insert project dates here) unless terminated by any partner.
- 11.2. Any partner may terminate the Partnership Agreement at any time by giving prior written notice of three months first to the other partners, then to the Regional Facilitation Unit, the Association of African Universities, although such action will only be taken after consultation with all partners, in order to avoid possible inconvenience to all concerned.
- 11.3. The partners agree that proposed changes to the Partnership Agreement’s contents or validity must be communicated in writing by the proposing partner to the other partners. Any variation to the Partnership Agreement must then be agreed in writing by all partners.

## **12. Disputes**

- 12.1. The partners will make every reasonable effort to resolve all issues fairly by negotiation. In the event that the dispute cannot be resolved within a four week period the matter shall be referred to the Presidents or other leaders of the partner organisations involved, for resolution. Any dispute which cannot be settled amicably shall be finally settled by third party mediation. Each partner shall bear its own costs connected to such a mediation procedure.

## **List of Annexes:**

Annex 1: Partnership Action Plan

Annex 2: Authorized Representatives

Annex 3: Partnership Budget

Annex 4: Results Framework and Monitoring

## Partnership Action Plan

### Description of the main partnership activities.

Guidelines: Describe the nature of the key activities that partners will undertake together. For example, joint research, faculty exchange and training, student exchange, curriculum development, research publications, policy briefs, share facilities/equipment,

### Implementation plan

Guidelines: Use this template to outline the main partnership activities, deliverables and milestones. Provide additional notes on specific responsibilities, below the table, as needed.

Deliverable	Activities and Milestones	Year 1				Year 2				Year 3				Year 4				Responsibility
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	
Develop and deliver joint curriculum in petroleum engineering laboratory methods	Lab and equipment procurement	X																ACE
	Faculty training workshops		X		X													ACE

	Offer new curriculum to 25 MSc students					X												Partner 2
	Student visits to ACE																	
	Offer curriculum to 50 MSc students						X		X									ACE
	Student visits									X								Partner 2
																		ACE
<i>Complete</i>																		



### Authorized Representatives

	<b>Partner 1 (Insert Name)</b>	<b>Partner 2 (Insert Name)</b>	<b>Partner 3 (Insert Name)...</b>
<b>Lead project contact</b>	Name: Address: Email: Phone:	Name: Address: Email: Phone:	
<b>Financial contact</b>	Name: Address: Email: Phone:	Name: Address: Email: Phone:	
<b>Administrative contact</b>	Name: Address: Email: Phone:	Name: Address: Email: Phone:	
<b>Other contact (s)</b>	Name: Address: Email: Phone:	Name: Address: Email: Phone:	



## Partnership Budget

Guidelines: Use this template to outline the costs of the partnership activities. As outlined in section 5, above, the ACE is responsible for expenditure, according to this budget, on behalf of the partners.

Activity	Item	Cost				Total
		Year 1	Year 2	Year 3	Year 4	
<b>Example:</b> Activity 1: Joint curriculum in petroleum engineering	Item 1.1: Lab equipment installation	\$50,000				\$50,000
	Item 1.2: Lab equipment maintenance		\$5,000	\$5,000	\$5,000	\$15,000
	Item 2....					
<b>Activity 1 subtotal</b>						<b>\$</b>
Activity 2....	Item 2.1					
	Item 2.2...					
<b>Total value of partnership budget in US dollars</b>						<b>\$65,000</b>

**Results Framework and Monitoring (note this is a sub-component of the overall project results framework) Guidelines:**

89 Use this template to describe what success will look like in relation to the partnership activities. Include specific targets for Years 1-4 and agreed responsibilities in relation to data collection and sharing.

Indicators:	Unit of measure	Baseline	Year 1	Year 2	Year 3	Year 4	Frequency Of measurement	Data Source	Responsibility for Data Collection
<b>Objective 1: Improve capacity of ACE and institution 2 for research and education in petroleum engineering</b>									
<b>Example:</b>  Number of students completing new, joint MSc module in lab methods for petroleum engineering	Students completing MSc module	0	25	50	75	100	Annual	University student records	Each institution will collect  ACE will compile information
Objective 2....									



**The partners have signed this Partnership Agreement which will come into force on the date outlined in Section 1.**

**Signature Page:**

**Signed on behalf of (Partner 1) by:** \_\_\_\_\_

Printed Name: \_\_\_\_\_

Position: President/Vice-Chancellor/CEO

Date: \_\_\_\_\_

**Signed on behalf of (Partner 2) by:** \_\_\_\_\_

Printed Name: \_\_\_\_\_

Position: President/Vice-Chancellor/CEO

Date: \_\_\_\_\_

**Signed on behalf of (Partner 3) by:** \_\_\_\_\_

Printed Name: \_\_\_\_\_

Position: President/Vice-Chancellor/CEO

Date: \_\_\_\_\_

**ANNEX 4: Guidelines for Academic Partnerships**

## **1. Background**

1. The objective of the Africa Centers of Excellence (ACE) project is to meet the labor market demands for skills within specific areas, where there are skill shortages affecting development, economic growth and poverty reduction. The project will promote regional specialization among participating universities in areas that address regional challenges and strengthen the capacities of these universities to deliver quality training and applied research. Partnership will be a key modality of regional collaboration. At least 15% of project funding must be invested in partnerships, and at least 10% must be invested in partnership activities with African partners (excluding national partners). Each ACE will be required to serve as a hub for a network of partner institutions. Partnerships can be developed with academic institutions, including research institutions, and industry partners, including both private sector partners and community institutions (e.g. health clinics). These guidelines refer to partnerships between academic institutions specifically. Academic partnerships will be at the national, regional (West and Central Africa) and global level (outside Africa).
2. Academic partnerships can build research capacity and be a means to develop sustainable research systems (local, national or global) with the overall goal of having research findings contribute more directly and powerfully to development. The specific objectives of academic partnerships within the ACE project are to: (i) increase the capacity of partner institutions in the region to deliver quality education and conduct research, preferably including institutions in fragile countries.; (ii) raise the centers' educational and research capacity through drawing upon partnership with internationally leading institutions within the same domain, and (iii) build upon the strengths of national and regional institutions (e.g. sharing of unique physical and faculty resources) to create synergies and thereby raise the quality of education and research. The ACEs will partner with academic institutions that have, or need, capacity within the particular development challenge they are addressing. This includes similar international academic centers globally, universities in the region, and national and regional research institutions. In particular, collaboration with regional research institutions is critical within agriculture and health where substantial academic capacity is located outside universities in sector-specific research institutions. The partnership activities may include joint delivery of education programs, professional courses for regional faculty, faculty exchanges/visiting faculty, joint research, joint conferences, sharing of specialized equipment and library resources. Partnership activities should address regional development challenges, and the collaboration should benefit each partner institution in clearly defined terms. The ACE project partnerships can include existing and new partnerships.

## **2. Objectives of the Partnership Guidelines**

- To learn from academic institutions that have identified partnership success factors and challenges.
- To provide practical guidance to ACEs in establishing/implementing successful partnerships.
- Note that guidelines are not mandatory, unless explicitly stated, in which case this is also stated in the Call for Proposals.

## **3. Partnership Principles**

3. Partnership is a cooperative strategy between two or more organizations or individuals favoring cooperation above substitution, subordination or competition<sup>18</sup>. An effective educational partnership is a dynamic collaborative process between educational institutions that brings mutual, though not necessarily symmetrical, benefits to both parties. Partners share ownership of the project. Their relationship is based on respect, trust, transparency and reciprocity as well as a good understanding of each other’s cultural and working environment. Decisions are taken jointly after real negotiations between the partners. Each partner is open and clear about what they are bringing to the partnership and their expectations. The following principles and guidelines can inform the establishment and development of ACE partnerships.

**Table 1: 10 Principles and Actions for Successful Educational Partnership<sup>19</sup>**

<b>1st Principle: Shared Ownership of Partnership</b>
<ul style="list-style-type: none"> <li>• Clarify and communicate partnership aims and expectations.</li> <li>• Ensure that partners jointly participate in the decision-making process and management of the partnership. □ Articulate the benefits of the partnership for each partner. These need not be exactly symmetrical.</li> </ul>
<b>2nd Principle: Trust and Transparency amongst Partners</b>
<ul style="list-style-type: none"> <li>• Partners should be particularly open and transparent when discussing objectives, motivations, managerial issues, ownership of research outputs, access to resources, and budgets.</li> <li>• Transparency should translate into specific acts such as documentation, record keeping, communicating openly.</li> <li>• Opportunities to meet face-to-face can help to build trust. Trust and mutual respect can take time to develop.</li> </ul>
<b>3rd Principle: Understanding each Partner’s Cultural and Working Environment.</b>
<ul style="list-style-type: none"> <li>• Evaluate the impact of the larger environment on the proposed partnership</li> <li>• Develop and share a baseline of capacity for each partner institution in the areas relevant to delivering proposed partnership activities. Identify strengths, weaknesses and concerns □ Ensure that working procedures and structures are appropriate to the environment.</li> </ul>
<b>4th Principle: Clear Division of Roles and Responsibilities</b>
<ul style="list-style-type: none"> <li>• The roles and responsibilities of each partner and the individuals involved should be clearly identified, examined and agreed upon.</li> <li>• The roles and responsibilities of the partners and each individual should be based on their capabilities and skills, current and anticipated. Training needs should be identified.</li> <li>• Each institution should be clear and open on what they have to offer. Consider what structures are needed to manage the partnership. How will responsibilities be divided? How will people be chosen to take responsibility?</li> </ul>

<sup>18</sup> Building respectful and collaborative partnerships for global health research. Canadian Coalition for Global Health Research.

<sup>19</sup> Adapted from Wann, N., Hinz, S. & Day, R. (2010). Good Practices in Educational Partnerships Guide: UK-Africa Higher and Further Education Partnerships. UK: The Africa Unit, Association of Commonwealth Universities.



**5th Principle: Effective and Regular Communication**

- Develop a plan for both internal (project staff) and external (other stakeholders) communications.
- Challenges and problems should be discussed as soon as they arise. Results and successes should be celebrated and communicated.
- Some specific steps to be taken include:
  - Identify a key project contact person in each institution
  - Agree on the best and most practical modes of communication
  - Set regular meetings
  - Make use of Information and Communications Technology (ICT) where possible
- Ensure a budget for face-to-face meetings to increase understanding of partner contexts and build trust.

**6th Principle: Joint Strategic Planning and Implementation**

- Define partnership objectives and activities through a joint planning process.
- Develop a Partnership Action Plan.
- Draft and sign a Partnership Agreement between partners.
- Review partnership objectives on a regular basis.

**7th Principle: Strong Commitment from Junior and Senior staff and Management**

- Be clear on the commitment of skills and time that is required.
- Communicate with senior management and secure their support for the partnership.
- International partnerships are labor-intensive and take time to develop. Keep the momentum going.

**8th Principle: Supportive Institutional Infrastructure**

- Assess staff training needs and plan and budget for training and mentoring.
- Assess ICT capabilities, including online learning methods, and develop a realistic communications plan.
- Make use of any established institutional strategy for international partnerships and associated infrastructure.

**9th Principle: Monitoring and Evaluation**

- Determine indicators of success of the partnership as part of a joint planning process. These should be clear qualitative or quantitative indicators that measure objectives.
- Agree on monitoring procedures, applying indicators of success at regular intervals to inform management.
- Agree on evaluation responsibilities. Use evaluation to disseminate impact of project and maintain support.

**10th Principle: Sustainability**

- Develop a clear financing plan.
- Be alert to changes in the partnership and potential funding gaps. Review these regularly.

#### 4. Stages of Partnership

4. Successful partnerships tend to change and evolve over time. Any academic partnership will go through a number of stages and phases during its lifecycle. These stages differ according to the type of partnership and the profile of partner institutions involved. Four main stages can be identified as follows: Planning and Consultation, Partnership Agreement, Implementation, Monitoring and Evaluation. Guidelines and a checklist of considerations for each of these stages are provided below.

#### 5. Planning and Consultation

5. All partnerships will be grounded in the objectives of the ACE to build regional collaboration in research and education to address a specific development challenge. The ACE could consider doing an analysis of its own strengths and weaknesses in addressing these objectives which would identify outstanding gaps and needs, and help drive the partnership process. Building on this, the next step would be to do an analysis to scan existing and potential partners, then create a profile of desirable partners for this project. Next, the ACE could create a shortlist of potential partners to approach, and a set of partnership selection criteria. Once

Step 1: Consultation Process – discussion points	Step 2: Partnership Action Plan
<ul style="list-style-type: none"> <li>• What are the reasons driving the idea of initiating a partnership?</li> <li>• What are the individual and institutional needs and aims?</li> <li>• Is a partnership the best way of responding to these needs and objectives?</li> <li>• What are the potential benefits to each partner? Who are the beneficiaries?</li> <li>• Does the partnership fit in with any institutional plans or national strategic frameworks?</li> <li>• Will the benefits delivered through the partnership have a long-term impact?</li> <li>• Can the institution make a long-term commitment to the partnership?</li> <li>• Is the institution able to invest the necessary human and financial capacity and resources involved in running a partnership?</li> <li>• Are there enough staff from the organization willing and keen to get involved with the partnership? Are they willing to dedicate time to planning and managing the partnership?</li> <li>• Do the staff feel that the partnership would be beneficial in terms of their own professional development?</li> <li>• Would the senior management of the institution be willing to support the partnership?</li> <li>• Will the institution be able to help monitor and evaluate the outcomes of the work to ensure it is meeting the agreed objectives?</li> <li>• Are there any uncertainties or questions in the future which may jeopardize the partnership?</li> </ul>	<ul style="list-style-type: none"> <li>• Decide on a lead contact person for each institution.</li> <li>• Agree on clear strategic objectives for the partnership</li> <li>• Decide on concrete results related to each objective</li> <li>• Describe key partnership activities</li> <li>• Set realistic timescales for each stage of the plan</li> <li>• Agree on project delivery and project management structures</li> <li>• Agree on budget allocated to partnership activities</li> </ul>

potential partners have been identified a consultation process can begin either face-to-face or by phone or videoconference. Once there is agreement, in principle, to establish a partnership, a more specific, joint, planning process can be carried out which starts to outline the proposed roles and responsibilities of each partner.

**Table 2: Guidelines for Consultation and Planning Processes.**

6. For the purposes of the Proposal Submission Form, ACEs will be required to provide details of proposed action plans for national, regional and international collaboration and an associated budget for partnership activities. Partnership activities may include education services, joint research, student and faculty exchange and others (further guidelines are provided in the Proposal Submission Form). Since partnerships are a key modality for implementing the activities of the ACE, they could also be referenced in other sections of the Proposal Submission Form, as appropriate. All partnership activities should be included in the budget. The submitting institution will be the prospective ACE and all funds will be managed by this ACE. Letters of support are also required from each proposed partner. These will include information on activities, benefits to each partner, contributions of each partner and the budget. Letters must nominate a main contact person and be signed off by senior management within each institution. A formal Partnership Agreement is not required at the proposal stage. Guidelines are provided, within the Proposal Submission Form, for Letters of Support and Partnership Action Plans. Selected institutions will have the opportunity to revise and update the Partnership Action Plan following the evaluation comments, including consideration of new partners.

## **6. Partnership Agreement**

7. When funding has been awarded, a Partnership Agreement will be developed by the ACEs in close collaboration with their partners, and co-signed by all major partners. This agreement will form part of the performance and funding contract to be signed with the Government. The Partnership Agreement formalizes the commitments between institutions. A template for this agreement will be provided, although institutions should adapt this to their institutional processes and preferences. Below is an outline of the sample template. The final agreement does not need to include all the details of the partnership, and it may be preferable to avoid excessive detail. Additional detail can be included in the annual Partnership Action Plan. There should also be some flexibility within the agreement to allow adaptation and re-negotiation under changing circumstances, as the partnership develops.

### **Sample Template: Overview of topics covered within partnership agreement:**

1. Identification of parties
2. Context of the Partnership Agreement
3. Objectives and Scope of the Partnership Agreement
4. Governance, Roles and Responsibilities
5. Financial Management
6. Monitoring and Evaluation
7. Intellectual property
8. Confidentiality
9. Liability
10. Initiation and Termination of the Partnership Agreement
11. Disputes
12. Annexes
  - Partnership Action Plan
  - Authorized Representatives

- Partnership Budget
- Results Framework and Monitoring

### 13. Signatures

#### **7. Partnership Implementation**

8. Implementation of partnerships will be guided by the agreed partnership which will be a reference point when there is need for clarification on key inputs, activities and outputs. These will be summarized in the Partnership Action Plan. Selected institutions will revise and update the Partnership Action Plan following evaluation comments, including consideration of new partners. Following the overall planning process, partners will need to develop and agree on the implementation of these plans and outline details. Partnership work should have a clear and manageable focus. The first few months of the partnership are important as they will set the tone for the future of the working relationship and help determine the success of the project.
9. As the partnerships are implemented, processes must be clarified. Partners should make use of existing infrastructure within their institutions and will develop additional project infrastructure as needed. Governance structures will be established and all partners should be satisfied that they are appropriately represented within these structures. Communications channels will be clarified, for example acceptable modes of communication, and a schedule of regular meetings should be agreed. A practical system of record-keeping and information sharing will be established. Particularly within the initial months of the project, partners should attempt to be somewhat flexible and open to learning and adapting their processes. Regular reviews of the partnerships should be scheduled (for example this could be a regular item on the agenda of project management meetings), to enable partners to share their feedback and use this to inform the development of the partnerships.
10. Staff buy-in and participation at all levels is crucial. To this end, roles and responsibilities must be made clear to all involved. Training needs should be identified and addressed. A range of incentives for staff can be considered, including financial rewards, professional support, peer support, job rotation and partnership visits or exchanges. Staff, at all levels, must have a clear, accessible forum for resolving disputes. There should also be regular communications with senior management and external partners to ensure that they remain supportive of the partnerships.

#### **8. 4.4 Monitoring and Evaluation**

11. Monitoring is intended to be an ongoing project management practice. Formal evaluation will take place on an annual basis, led by each ACE, reporting to the Association of African Universities. Annual reports will include reporting against indicators, activity reporting, financial and qualitative reporting. All partners must contribute to the annual reports and these must be endorsed and signed off by each partner before submission to the AAU. ACEs will be funded based on achievement of results that are annually reported. The Partnership Action Plan should capture partnership outputs that will contribute towards those results and will align with the overall Project Results Framework. The main partnership indicators will be the number of faculty and students rotating and providing services in ACE and partner institutions (including those on regional student body, internships and faculty and student outreach activities), as well as the number of regional research publications. Additional partnership indicators may vary depending on the sectors and disciplines that are prioritized by the ACE. After two years there will be a mid-term review at which point the Partnership Action Plan will be revised.
12. The tools for monitoring and evaluation of partnerships will be: (a) institutional progress reports; (b) third party verification through external reviewers and performance audit reports, if necessary; and (c) interactions with stakeholders. Partners must agree on their respective

responsibilities regarding monitoring and evaluation and capture this in the Partnership Agreement. Activities to be allocated will include; development of a baseline measures, setting up monitoring processes, data collection, taking responsibility for annual evaluation reports.

13. For the purposes of monitoring and ongoing project management, ACEs may wish to develop additional, tailored, partnership indicators which will facilitate the process of partnership development. Table 3 below provides a list of questions that partners may wish to consider in monitoring their partnerships.

**Table 3: Monitoring Partnerships**

<b>Activities and Outputs</b>
Are the agreed partnership activities taking place? If not, what are the barriers and what actions are required? Are the agreed outputs being delivered by partners? If not, what are the barriers and what actions are required?
<b>Structures and Processes</b>
Are partners participating in governance structures as agreed? Are the roles and responsibilities of each partner clear? Is communication between partners easy? How is it facilitated? Do the partners know each other well and trust each other? Is there transparency? Do all partners have access to project budget documents, reports and other scientific information? Are there any current outstanding issues or disputes between partners? What is required to resolve these issues? Are there any additional staff training needs? Are all internal and external stakeholders updated and engaged on partnership activities?
<b>Learning and Improvement</b>
What lessons have been learned about partnerships to date? What improvements could be made to the partnerships? What are the actions arising from this review?

14. Evaluation can be a useful tool for project sustainability. It is an opportunity to publicize the partnerships in order to stimulate interest and involvement in the project and to ensure that information about the project will reach all the intended audiences. Evaluations also provide an opportunity to reflect and learn. Lessons should be shared between partners and applied to improve the partnerships and the project. At the end of the project lifecycle, monitoring and evaluation data will be useful in deciding next steps for the partnership, in terms of renewal or termination.

## **ANNEX 5: Independent Evaluation Committee Protocol for the Assessment of ACE Proposal Submissions**

### **OBJECTIVE OF THE EVALUATION PROTOCOL**

1. The ACE Evaluation Protocol 2013 is a protocol for the evaluation of proposals submitted by African institutions of higher learning in response to the Call-for-Proposals for the Africa Centers of Excellence Project, Phase I, for West and Central African countries. This project is undertaken by institutions of higher learning, West and Central African Governments, and

ECOWAS, with collaboration and finance from the World Bank. The aim of this Evaluation Protocol is to provide guidelines for the Independent Evaluation Committee's assessment, recommendations, and reporting, regarding the proposals that are submitted in response to the call.

2. The Independent Evaluation Committee will be the primary user of the evaluation protocol. The protocol will also serve as a guiding document for the ACE Project's Steering Committee, to assist in its oversight of the Independent Evaluation Committee, and for the institutions preparing proposals.
3. The ACE Independent Evaluation Committee will independently and objectively assess ACE proposals and the submitting institution for funding within education and research in science, technology, engineering, mathematics (STEM), the agricultural sciences and the health and medical sciences.
4. The protocol formulates guidelines regarding the assessment criteria, information requirements and the procedures to be taken into account by the Independent Evaluation Committee. The World Bank's ACE Project Appraisal Document (PAD) contains the rationale for the project and a summary of the project description. The Independent Evaluation Committee can refer to these additional documents in their assessments of each proposal submitted.
5. The Independent Evaluation Committee (IEC) should also note that the administrative burden of the assessment of the proposal on the institution/center submitting the proposal(s) (e.g. clarifications, site visits, additional documentation, etc.) should be as light as possible.

## **EVALUATION**

6. In brief, the evaluation of the proposals submitted by the African institutions of higher learning will be done in two rounds:
7. The first round will be a technical assessment by the Independent Evaluation Committee which will have 3-4 Evaluation Panels, one for each major discipline under the project. Each Panel would have a sufficient number of members with knowledge and experience in the respective discipline that can review and evaluate the assigned proposals.
8. The second round of the evaluation involves an in-depth, on-site, and leadership assessment of the institution submitting the proposal. Small teams will visit each of the short-listed institutions, consisting of at least two internationally-reputed university or scientific leaders and a leading faculty/investigator within the field of expertise of the ACE Proposal. The teams will assess leadership and management capacity of the university and the proposed Center of Excellence, as well as ascertain the feasibility of implementing the proposed project, given the existing academic capacity infrastructure, including learning and research equipment, and management capacity.
9. Based upon the above, the Evaluation Panels within the Independent Evaluation Committee will submit, together with all appropriate relevant documentation, ranked recommendations of the proposals to the Steering Committee (SC), which will make the ultimate award granting decisions. In this decision, the SC may deviate from the recommendations of the Evaluation Committee, but without changing any evaluation marks of the individual proposals. It may do

so based upon an objective and clearly stated rationale to ensure a reasonable geographically, linguistically and disciplinary representation in the final selection.

10. **At least 5 double ACE grants will be given to institutions that submitted two Centre of Excellence proposals.** These institutions will receive funding for two centers of excellence, a total of USD 8 million. This seeks to concentrate sufficient funding to a few institutions, generate a critical mass of senior faculty, post-graduate students, and researchers, establish a thriving research environment in several disciplines, and foster policy and leadership development at the institutional level; all factors that are critical to develop excellence.

11. The full evaluation process and Timeline is provided in the table below:

**Table 1: ACE Evaluation process and Timeline**

	Steps	Dates	Organization	Observations
1	Deadline for receiving final ACE Proposals	Monday September 2, 2013	Facilitation Unit	
2	Review of Proposals on eligibility and completeness of documentation	September 2-6	Facilitation Unit	
3	Evaluation of eligible and complete proposals	September 9-16	IEC	IEC review by members or IEC sub-groups
4	Assessments and site visits to short-listed institutions	September 23-October 4 <sup>th</sup>	IEC	4-5 teams are expected to be visiting institutions
5	Submission of On-site Evaluation reports, final evaluation score, and recommendations for selection list of ACE Centers-of-Excellence to the Steering Committee	October 11 <sup>th</sup>	IEC	Including suggestions for improvement for certain proposals considered worth doing so
6	Review and decision on final Award list	October 22 <sup>nd</sup>	SC	10-15 Centers of Excellence (in 7-10 institutions) is expected to be selected
7	Submission of evaluation report to the World Bank for No Objection	October 22 <sup>nd</sup>	SC and Facilitation Unit	
8	Announcement of Centers of Excellence conditional selection	November 1 <sup>st</sup>	SC and Facilitation Unit	Institution will be conditionally selected subject to incorporation of
	and publication of evaluation reports to each applying institution			the Independent Evaluation Committee's suggestions

9	Deadline for submission of grievances & appeals	November 7 <sup>th</sup>	Special ACE Proposal Grievances & Appeal Committee	
10	Review, final report and recommendations of Special Grievances & Appeals Committee to PSC	November 21st	Special Grievances & Appeals Committee	
11	Submission of improved proposals	November 26th	Institutions	Include a cover letter indicating the improvements referring to the requested improvements by the IEC
12	Review of improved proposals	December 3rd	IEC and Facilitation Unit	Review by 1 IEC member and the Facilitation Unit

### **The Selection and Composition of the Independent Evaluation Committee**

12. An objective, well balanced, and educationally recognized composition of the Independent Evaluation Committee (IEC) is of the utmost importance. As stated above, the members of the IEC should be independent of the ACE proposing institutions, well acquainted with the current education and research practice of the discipline(s) and be able to cover the various other areas of the institution’s activities (e.g. Masters and PhD training, research in the context of the ACE proposal, provision and maintenance of teaching and research facilities for other academic and non-academic target groups, etc.). Teaching and research management competence should be represented in the IEC. The IEC should be able to position the education and research area(s) of the institution within the African and international context and should be able to assess the teaching, learning and research dimensions of the ACE proposal according to criteria that fit the field’s higher education and research practices. The members would primarily come from the African educational and scientific community, including from the diaspora, joined by global technical experts.

13. The ACE Steering Committee (SC) is responsible for the selection of the chair and further configuration of the Independent Evaluation Committee. The selection procedure for the chair and the members of the Independent Evaluation Committee must ensure the competence, expertise, impartiality and independence of the Committee as a whole. In order to meet these requirements, the ACE SC, with the advice of the Regional Facilitation Unit, will carefully consider the fit between the Independent Evaluation Committee and its members and the required competencies, disciplinary expertise and professional backgrounds necessary for effective assessment of the ACE proposals submitted. The AAU will prepare a draft list of evaluators, potentially with the support of the World Bank team. The Steering Committee may also consult third parties within the African and international academic and scientific community to reflect on the impartiality and independence of the Committee chair and its members. The Steering Committee will officially install the Independent Evaluation Committee. The names of the committee members will be made public after the evaluation. The identity of the evaluators for each proposal will not be disclosed. The Committee members are collectively responsible for each evaluation.



14. An indicative list of required competencies and expertise by scientific discipline is provided in Annex 1, which will serve as a guideline for candidates. This indicative list will be reviewed after receipt of the proposals when the educational and scientific scope of the proposals is known. In addition, the Committee may draw upon other expertise to evaluate the potential of the proposals to address social, economic and/or other development challenges and the degree to which the challenge is shared among several countries. This will allow for an alignment of the composition of the evaluation committee with the required expertise to adequately evaluate the proposal.

### **Units of evaluation (who will be evaluated)**

15. The proposals will be evaluated with regard to three “units of evaluation”. The academic institution as a whole. An institution may be defined as ‘a group of faculty or researchers with an articulated shared mission, operating within one or more education or research programs under the same management’. The assessment of the proposal at the institutional level primarily focuses on strategy and organization. The Boards under whose jurisdiction an institution falls -notably the Governing Boards of universities (university council etc. these will be referred to throughout this protocol as ‘board’) - are ultimately responsible for the proposed Africa Centers of Excellence and its requested and received funding. At the institutional level, the Independent Evaluation Committee will take into account the institution’s strategic plan submitted as part of the ACE proposal. In the on-site and leadership evaluation of the proposal, the IEC will specifically include consideration of the institutions’ accountability to their governing boards and their funding agencies, as well as governments and African society at large with regard to their progress towards academic regional specialization.
16. The education and research programs, faculty, and administration that will form the core of the Center of Excellence. Each Center of Excellence will have a director with the day-to-day education and research responsibility for the ACE proposal. Throughout the protocol they will be referred to as ‘center leaders’. At the level of the education and research groups, the criteria should primarily be applied to the performance of the faculty, students and researchers. The evaluation will entail an assessment of the proposal's output and activities of the faculty, students and researchers, both in quantitative and qualitative terms, of the relevance of the work, of the outreach and partner inclusiveness in the proposal, and of the proposal's regional 'reach'. Issues of policy and center leadership within the institution/center or program submitting the proposal nonetheless remain important elements of assessment. In addition, principal faculty and research members will be evaluated as part of the evaluation of the proposed education and research program.
17. Partner institutions. These include national, regional, and international academic institutions and industry partners (industry partners are defined broadly as sector partners, which for example include hospitals for the health sector and farmer associations for agriculture).
18. Furthermore, the on-site and leadership evaluation will evaluate the government’s ownership and support to the proposed Center of Excellence.

### **Prospective and Retrospective evaluation**

19. The primary focus of the evaluation is a prospective evaluation of the likely impact of funding of the proposal. It is not a retrospective evaluation of past or current performance. However, in the prospective evaluation, past performance and current capacity are important indicators for the likely impact of the proposal. Therefore the assessment of past results, institutional collaboration, and track record of the institution as well as the center's faculty, investigators and leadership is relevant. Both retrospective and prospective characteristics are therefore included in the assessment criteria (see below).

### **Scientific disciplines and interdisciplinary aspects**

20. It is important that proposed education and research activities are assessed according to the standards of the specific disciplines concerned (e.g. STEM, agricultural sciences, health and medical sciences). The specific character of each scientific field may require emphasis on some aspects of the evaluation protocol, while other aspects may be less relevant to a certain discipline. The proposals in the fields of the natural and life sciences, medicine and health sciences, design and engineering and the agricultural and food sciences may each require different approaches to the evaluation. Within these fields, approaches may also vary among scientific sub-disciplines. While the outline of the evaluation criteria and information requirements in the evaluation protocol are based on the common scientific ground of these disciplines, the Independent Evaluation Committee may wish to take into account the specific characteristics of each of the disciplines in the ACE proposal in terms of its specific teaching and learning and research identity and related facts and figures.
21. Furthermore, both higher education and research worldwide are increasingly of a multi-, inter-, or trans-disciplinary nature. Academic teaching institutions and research programs with multi-, inter-, or trans-disciplinary education and research may require special attention in the evaluation. It is, for instance, often more difficult for these groups to show their results through traditional indicators, for example, based on publications in high impact journals, and therefore the IEC may wish to include member evaluators who have solid experience in assessing such higher education and research.

### **Screening for Completeness**

22. The proposals submitted by African institutions competing for ACE funding will initially be reviewed against formal submission requirements, including the ACE eligibility criteria, by the Regional Facilitation Unit, following which they will be endorsed by the Steering Committee for assessment by the Independent Evaluation Committee.

### **PLANNING THE EVALUATION**

23. Based on the proposal(s) that are submitted, the Independent Evaluation Panels will assess the three main mandates of each institution with regard to the proposal's education and research programs: (i) the training of Master and PhD-students (which to some extent includes the next generation of academic faculty and researchers); (ii) the production of results relevant to the academic and scientific community, and (iii) the production of results relevant to society.
24. The evaluation will emphasize the importance of academic regional specialization.

25. The Independent Evaluation Committee may look beyond the proposal concerned and consider evidence that may be available from stakeholder surveys, stakeholder conferences, various forms of impact analysis, case studies, including health protocols, engineering designs, policy reports etc. since several centers or institutions may present a wide spectrum of output and scientific activities. The Independent Evaluation Committee can also include other forms of qualitative information in their assessment of the ACE proposal(s) concerned, including policy measures intended to raise the output to the best and most relevant level possible.

*Table 2 Assessment criteria, sub-criteria and guidance aspects*

<b>Criteria for Technical Evaluation</b>	<b>Mark</b>
<b><i>(1) Potential for Regional Development Impact:</i></b>	
<p><i>Sub-criteria: Importance of development challenge for the region and the importance of skills and research for overcoming the challenge</i></p> <p>Guidance to evaluate the sub-criteria</p> <ul style="list-style-type: none"> <li>• Importance of the development challenge for the region’s development, notably the share of the region’s population, in particular the poor population, facing the challenge <b>(2 marks)</b></li> <li>• The importance of skills and knowledge in overcoming the development challenge, and the relevance of the proposed education and research programs for overcoming the development challenge <b>(2 marks)</b></li> <li>• Inclusion of the relevant educational and sciences departments/disciplines for a comprehensive treatment of the development challenge <b>(1 mark)</b></li> </ul>	5
<p><i>Innovation of the proposal and ability to attract a regional faculty and student body</i></p> <ul style="list-style-type: none"> <li>• The existence of other institutions offering the proposed programs and research in the region <b>(2 mark)</b></li> <li>• Potential ability, track-record, and quality of planning to attract a regional student and faculty body <b>(3 marks)</b></li> </ul>	5
<p><i>Potential regional development impact through collaboration with sector partners – breadth of partnerships</i></p> <ul style="list-style-type: none"> <li>• Do key sector partners (employers, organizations, and governments) facing the development challenge express their support (letters of support)? <b>(2 marks)</b></li> <li>• Do the relevant line ministries support the Center of Excellence? <b>(2 marks)</b></li> <li>• Are the sector partners regional in scope? <b>(1 mark)</b></li> </ul>	5

<p><i>Potential regional development impact through collaboration with sector partners – depth of partnerships</i></p> <ul style="list-style-type: none"> <li>• Are the proposed commitment and collaboration from sector partners substantial? For example, will sector partners employ the graduates, take interns, send staff for short-term professional development courses, conduct joint research, and use knowledge of the center? <b>(2 marks)</b></li> <li>• Is the proposal building upon existing partnership and how robust are these? <b>(1 mark)</b></li> </ul>	5
<ul style="list-style-type: none"> <li>• The institution’s track-record and policy for making the expertise of their faculty and students and their research results available to sector partners (knowledge transfer) <b>(1 mark)</b></li> <li>• The applicability of the education and research results (suitable for application in products, processes and services) <b>(1 mark)</b></li> </ul>	
<p><i>Potential for raising the quality and relevance of education at national and regional academic partner institutions</i></p> <ul style="list-style-type: none"> <li>• Are the proposed commitments and collaborations from academic partners substantial, for example are there joint faculty development programs and joint conferences, research, sharing access to specialized research, learning equipment, student and faculty exchange etc ? <b>(2 marks)</b></li> <li>• Does the proposal build upon existing partnerships and how robust are these, for example are the academic partnerships regional in scope? <b>(2 marks)</b></li> <li>• The anticipated increase in the quality and relevance of education and research at national and regional academic partner institutions? <b>(1 mark)</b></li> </ul>	5
<p><b>(2) Potential for Excellence in learning and its impact</b></p>	
<p>Identification of critical factors for achieving learning excellence and credible policies and plans to address those, including likelihood of reaching international quality benchmarks</p> <ul style="list-style-type: none"> <li>• Motivation of faculty and staff <b>(2 marks)</b></li> <li>• Introduction/revision of courses and programs for excellence in the proposed area <b>(1 mark)</b></li> <li>• Proposed approach to apply modern teaching-learning techniques: provide hands-on learning, develop team-based teaching and teambased learning, foster applied problem solving skills, group work, including use of student-centered and work-based learning <b>(1 mark)</b></li> <li>• Quality and credibility of plan to achieve international quality benchmarks <b>(1 mark)</b></li> </ul>	5

<p>Resources for Excellence in Teaching and Learning</p> <ul style="list-style-type: none"> <li>• Faculty resources: Excellence of existing faculty and strengthening faculty and staff knowledge and skills and/or bringing-in top-notch faculty and use of ICT <b>(2 marks)</b></li> <li>• Learning resources: Status of learning and physical resources for excellence, including the relevance of proposed investments in teaching and learning methodologies, materials and civil works <b>(2 marks)</b></li> <li>• Excellence, relevance and commitment of proposed international (extra-regional) academic partner(s) <b>(1 mark)</b></li> </ul>	5
Impact of Excellence in Learning:	5
<ul style="list-style-type: none"> <li>• Ability to credibly scale-up new/revised courses, including potential use of distance-learning (consider existing volume of students, targets, graduation rates) <b>(2 marks)</b></li> <li>• Ambitiousness of plan to scale up Master and PhD training under the center (availability of tutors and demand from quality students) <b>(3 marks)</b></li> </ul>	
<b><i>(3) Potential for Research Excellence</i></b>	
<p>Scientific merit of the proposed research program</p> <ul style="list-style-type: none"> <li>• Clarity and focus of the research program, building upon existing knowledge in the field <b>(2 marks)</b></li> <li>• Significance of the potential contribution to the field <b>(1 mark)</b></li> <li>• Clarity and relevance of the proposed research methods and identification of necessary research resources <b>(1 mark)</b></li> <li>• Clarity and cost-efficiency of the proposed investment into research resources <b>(1 mark)</b></li> </ul>	5
<p>Scientific research track record and availability of research resources</p> <ul style="list-style-type: none"> <li>• Scientific publication record of the center director and principal investigators, research productivity, and other qualifications and expertise of the proposed research team. <b>(3 marks)</b></li> <li>• Other resources available to the researchers, including access to research facilities; modern research methodologies and team-based research approaches; financial resources, library and journals, research collaborators, research assistants and post-graduate students, incentives and attractiveness of doing research in the institution and use of ICT. <b>(2 marks)</b></li> </ul>	5
<b><i>(3) Financial Sustainability of the proposal</i></b>	

<p>Ability to raise funding for continued investment into faculty and learning resources</p> <ul style="list-style-type: none"> <li>• Potential impact of plan and policies to raise revenue (outside of budget-support) at the institutional or departmental level, including revenue from tuition fees revenue, consultancies, donation, etc. <b>(2 marks)</b></li> <li>• Track-record on revenue generation. <b>(3 marks)</b></li> </ul>	5
<p>Co-financiers and Cost efficiency</p> <ul style="list-style-type: none"> <li>• Co-financiers of the proposed center of excellence or related programs (letters of support – either in-kind or monetary contributions, including grants) <b>(2)</b></li> <li>• Cost efficiency - does the proposal build upon existing physical and human resources, and does the proposal take advantage of capacity in academic and sector partners? <b>(2 marks)</b></li> <li>• Evidence of cost-consciousness <b>(1 mark)</b></li> </ul>	5
<p><b><i>(4) Social responsibility – Inclusion of rural/remote institutions as partner institutions, and involvement of disadvantaged students/faculty, including females</i></b></p> <ul style="list-style-type: none"> <li>• Will rural/remote institutions be directly involved in the proposed Center of Excellence? <b>(2 marks)</b></li> <li>• Will females be part of the proposed Center of Excellence either as faculty or students or through partnerships? <b>(2 marks)</b></li> <li>• Will other disadvantaged groups be directly involved in the Center <b>(1 mark)</b></li> </ul>	5
<p><b><i>(5) Quality and Consistency of the proposal</i></b> (incl. fit with strategic plan analysis) SWOT-analysis of the position of the institution or center and programs; analysis of strengths and weaknesses, opportunities and threats; coherence of the proposed program. <b>(5 marks)</b></p>	5
<b>Total</b>	<b>70</b>

### 8.1 Five point scale

26. The final assessment of the proposals should be in both qualitative and quantitative terms. In the text, the most important considerations of the Independent Evaluation Committee should be clarified, while the conclusion should be summarized in a single term according to the European Union Standard - a five point scale. The Committee should consider the full range of the scale and apply the criteria according to the descriptions given. A description of this scale is given below:

Table 3: Five point scale for overall project assessment

Assessment	Rating	Numeric score
The proposal successfully addresses all relevant aspects of the criterion in question. Any shortcomings are minor.	Excellent	5

The proposal addresses the criterion very well, although certain improvements are still possible	Very Good	4
The proposal addresses the criterion well, although improvements would be necessary	Good	3
While the proposal broadly addresses the criterion, there are significant weaknesses	Fair	2
The proposal fails to address the criterion under examination or cannot be judged due to missing or incomplete information	Fails	0

27. Each evaluator will use this scale to answer each question in the Evaluation Questionnaire. The questionnaire and final evaluation mark for the proposal can be automated with an Excel sheet. This sheet is available in Annex 3. It includes each of the evaluation marks and a summary of the main strengths and weaknesses. Each proposal is expected to be separately reviewed by at least two evaluation panel members and one external evaluator.. A combined evaluation is then arrived at through discussion among the evaluators and, if deemed necessary, additional guidance from other evaluators can be sought. The SC will share the combined assessment sheet with the submitting ACE institution.

28.

### **8.2 On-site proposal and leadership evaluation**

29. For the on-site evaluation of the prospective ACE institutions shortlisted by the Steering Committee, small evaluation teams consisting of at least two internationally reputed university leaders and a leading research/investigator within the field of expertise of the ACE proposal concerned will visit each of the short listed institutions for one day. The team will assess the leadership and management capacity of the proposed ACE institution and ascertain the feasibility of the implementation of the proposed Africa Center of Excellence, given the specific institutional context, autonomy and accountability, management practices, existing academic capacity and infrastructure, including learning and research equipment, government support and policy. Specifically, the assessment team will evaluate the following criteria:

*Table 4: Assessment criteria for on-site visit*

<b>On-Site and leadership evaluation</b>	<b>Marks</b>
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<p>Institutional leadership and vision (based upon interview of the head of the institution, chair of the board, existing institutional strategic document and other relevant materials)</p> <ul style="list-style-type: none"> <li>• The ability of the institution to react adequately to important changes in the authorizing environment <b>(1 mark)</b></li> <li>• The institution’s effective accountability to the governing boards and their funding agencies, governments and African society at large. <b>(2 marks)</b></li> <li>• Clarity of education and research priorities, faculty and personnel policy, and enabling policies for resource mobilization and budget allocations <b>(1 mark)</b></li> <li>• Institutional risk related to disruptions in teaching and research, for example from student or faculty strikes <b>(1 mark)</b></li> </ul>	5
<p>Center leadership and administrative capacity (based upon interviews with the proposed center leader and senior faculty involved in the proposal)</p> <ul style="list-style-type: none"> <li>• Assessment of the professionalism of management of education <b>(3 marks)</b></li> <li>• Management of research <b>(2 marks)</b></li> </ul>	5
<p>Implementation capacity with a focus on the procurement, financial management and environmental management of implementation (based upon desk review of proposal and past financial audits and site visit).</p> <ul style="list-style-type: none"> <li>• Clear, transparent, and efficient procedures for procurement <b>(2 marks)</b></li> <li>• Experienced staff in Procurement and financial management <b>(2 marks)</b></li> <li>• Track record for procurement and timely, unqualified audits <b>(1 mark)</b></li> </ul>	5
<p>Institutional ownership of proposal as evident from faculty and student awareness and inclusion (based upon proposal, site interviews, and campus visit)</p>	5
<p>Government involvement to support the institutional proposal, alignment with relevant sector strategies, a regional provision of</p>	5



<p>higher education, and quality of government policy making (interview with government officials in ministry/agency for higher education and officials from other relevant line ministries and relevant material)</p> <ul style="list-style-type: none"> <li>• Awareness and support from key government agencies, including relevant sector ministries (such as education, health, agriculture, industry or mining/oil) <b>(2 marks)</b></li> <li>• Stability and predictability of government’s policy as it concerns risk to the proposed ACE <b>(1 mark)</b></li> <li>• Government commitment to establishing a regional higher education policy and building regionally shared capacity <b>(1 mark)</b></li> <li>• Government and stakeholder ability to avoid disruptions to teaching and research <b>(1 mark)</b></li> </ul>	
<p>Commitment from academic and sector partners to the institutional proposal (based upon interviews with partners and other relevant material)</p>	5
<p><b>Total</b></p>	<b>30</b>

30. In addition, the evaluation team must assess the consistency between the submitted proposal and the reality on the ground in terms of institutional SWOT analysis, infrastructure, academic and research capacity, and government and partner support. The evaluation team must report any material inconsistencies between the written proposal and the reality of the ground, consider implications for the overall credibility of the proposal, and re-consider the affected marks of the technical evaluation of the proposal.

31. **Preparation of site visit.** Each evaluation team receives all relevant material (the ACE proposal, the Evaluation Protocol, the Project document, the specific terms-of-reference for the evaluation, and the visiting program at least two weeks in advance of their site visit. The chair may request, possibly after consulting the other Committee members, additional information from the prospective ACE institution or its Board. The Independent Evaluation Committee will meet in a closed session prior to the site visit to decide on their working procedure for the visit and for writing the short evaluation report. The closed session will include the Executive Secretary of the Committee, representing also the Regional Facilitation Unit, supporting the administrative arrangements for the site-visit assessments.

32. **During the visit,** the evaluation Team meets with, at a minimum:
- The would-be Center Leader of the proposed Africa Centers of Excellence
  - The senior faculty members making up the core of the center’s teaching and research staff
  - The head of the institution
  - The Chairperson of the institution’s Executive Board
  - Government officials leading higher education policy and relevant officials from other governmental ministries/agencies
  - A representative group of leading, tenured and non-tenured, faculty at the institution
  - A small (20-30), but representative, number of undergraduate, Masters and PhD students

- (interviewed in small groups without presence of institutional staff) ■
  - Representatives of the technical and maintenance staff
    - Representatives of key partner institutions (key partners are not required to travel to the institution to be available for the visit. The evaluation team can conduct short phone interviews with key partners prior or shortly after the visit).
    - Other relevant civil society representatives engaged with the institution
33. The final list of meetings and the agenda will be coordinated by the Regional Facilitation Unit, the institution, and the leader of the evaluation team.

**Avoidance of any perceived or real conflict of interest.**

34. All costs associated with the site visit must be paid by the Regional Facilitation Unit. The evaluators are prohibited from receiving any gifts or favors from the institution, partners or government. Similarly, the institution, partners and government can in no way offer gifts or favors. The evaluators are required to report any offers of gifts and favors to the Regional Facilitation Unit. Similarly, the institutional team is required to report any requests for gift or favors to the Regional Facilitation Unit. The institution may arrange for standard food and beverages during the visit, and, if agreed on beforehand, transportation between the hotel and the institution. All meetings between the evaluators and the institutions must be on the agreed meeting schedule and be in a professional, objective, setting and take place during the day.
35. The Evaluation team may wish to use a checklist for the assessment at the institutional or center level and that of the education and/or research group or program. The members can use these lists individually (that is, before the meetings of the committee in full) for their provisional judgment, but will have to consider them mainly as starting points for discussions with the other members during the site visit. The use of checklists should not in any way imply that the final score is an average of all scores. The scores are only to be given after careful consideration by the entire team.

**EVALUATION REPORT**

36. To meet the objectives of the independent evaluation, as outlined in section 2 above, the committee will score and provide a short explanation of the scoring for each criteria(max. 2-3 pages or shorter). Basically, for the evaluation of each ACE proposal, the short report should contain the score for each criteria and sub criteria and a short explanation next to the score on the rationale of how the evaluator arrived at the mark. Consequently, the report should also indicate opportunities for improvement of the proposals selected, possible threats and recommendations for how all of these can be included in the final ACE program of the institution to be funded.
37. In line with the above, the report should at a minimum assess the regional developmental impact, the academic and scientific partnership dimensions, the various potential excellence aspects such as the highlighted quality and productivity elements, the social and economic relevance indicators, the sustainability perspectives and the feasibility levels of the proposed program at the institution concerned. The report will include both past performance and future prospects of prospective ACE institutions or programs. The individual academic or scientific group reports may be confined to 1 page per group, including the assessment by means of the 5-point scale. It is important that the reasons for the given qualification are sufficiently explained in the text.
38. The committee can, in its comments and suggestions for improvement of proposals, stress specific technical elements (for instance in design & engineering), or suggest a particular role

in the broader scientific infrastructure (for instance a library function), or propose an emphasis on specific social or economic objective (patient care, policy advice).

39. Proceeding from the above, the short assessment report of the proposals by the Independent Evaluation Committee will contain two parts:

- Scoring assessment at the level of the institution or center in terms of the criteria highlighted above identifying the main issues of praise and criticism and putting forward recommendations for improvement of the ACE proposal.
- assessment of the education and research groups or programs according to the abovementioned criteria, with a focus on performance in terms of academic training and scientific achievements and of social and economic relevance. The Independent Evaluation Committee may use qualitative and quantitative indicators and indications.

### **10.1 Evaluation Report Content guideline**

A guideline for the content of the report to be written by the Independent Evaluation Committee:

*Introduction* – Overview of the ACE Proposals in General and Summary of the Findings

*Part 1* - Review of each prospective ACE institution overall, containing:

- ❖ a reflection on the regional impact of the institution (importance of the institution's development approach for the region and the innovation content of the proposal – including alignment with regional and national development plans)
- ❖ a reflection on the institution's partnership inclusiveness (the strengths and relevance of collaboration with national and regional sector partners -academic partner institutions, employers, organizations, and governments- that will employ and use the graduates and research knowledge of the academic institution, as well as the regional-breath of this collaboration)
- ❖ a reflection on the institution's potential for excellence in terms of quality (academic reputation, quality of Master and PhD-training, financial and human resources and research facilities, organization and internal processes, academic and scientific leadership, national and international positioning) and in terms of productivity (graduations, publications, output) and productivity policy
- ❖ a reflection on relevance (in higher education, research, social and economic) and applied relevance (the institution's activities aimed at making education and research results available and suitable for application in products, processes and services, including activities regarding the availability of results and the interaction with the private sector, as well as direct contributions to commercial, investment or non-profit use of graduates, expertise and research results)
- ❖ a reflection on the institution's sustainability and feasibility (based on comparative positioning and benchmarking, and also the strengths and weaknesses in the

SWOT analysis, including its strategy for future years, competitive strength, robustness and stability; earning capacity).

*Part 2-* Review of each ACE proposal's education and research group or program, containing:

- ❖ a reflection on the regional outlook of the group (importance of the group's development approach for the region and the innovation content of the program – including alignment with regional and national development plans)
- ❖ a reflection on the group's partnership inclusiveness (the strengths and relevance of collaboration with national and regional academic partner institutions, employers, organizations, and governments, that will employ and use the graduates and research knowledge of the group, as well as the regional-breath of this collaboration)
- ❖ a reflection on the potential for excellence in terms of quality (quality and level of innovation of teaching and learning, originality of the research, academic significance, program coherence, publication strategy, prominence of the faculty and researchers, of the R&D by the group, of the education and teaching and research infrastructure; the center's leadership of the education and research program; and financial and human resources) and in terms of the productivity of the education and research groups, the R&D activities and the education and training and research infrastructure (quantification of the academic Master & Ph.D. graduation rates, published output, R&D results, utilization rates of education & training and research infrastructure, and quantification of use by third parties)
- ❖ a reflection on relevance and applied relevance (of the training and learning, of the R&D, and of the education and research infrastructure – both for the academic world and for society)
- ❖ a reflection on sustainability and feasibility, and the group's vision for the future (of the education and research plans, flexibility and anticipation of changes to be expected in the near future).

40. The guideline above is not exhaustive and the report will need to take into account all the multiple dimensions highlighted in the protocol, as well as in the ACE project's elaborate Project Appraisal Document (PAD), published by the World Bank.

## **FINAL SELECTION**

41. The assessment follow-up consists of three elements: (i) the final decision of the ACE Steering Committee regarding the findings and recommendations of the Independent Evaluation Committee, (ii) the publication of the final ACE selection list, and (iii) handling of grievances.

### **11.1 Final Position of the ACE Steering Committee**

42. After the Independent Evaluation Committee has presented its final evaluation report to the Steering Committee, the Steering Committee will meet to discuss the Committee's findings and recommendations. In its final selection, the Steering Committee may deviate from the recommendations of the Evaluation Committee, without, however, changing any evaluation

marks of the individual proposals. It may do so based upon an objective and clearly stated rationale to ensure a reasonable geographically, linguistically and disciplinary representation in the final selection. The ACE SC will formulate its position regarding the evaluation outcomes in writing in the minutes of the final selection meeting.

### **11.2 Making the Independent Evaluation results public**

43. The report of the Independent Evaluation Committee and the Minutes of the ACE SC regarding the outcomes of the evaluation together form the evaluation results. The ACE SC will make the selected institutional proposal and the evaluation results of those selected institutions public on the regional facilitation unit's website. Institutions with non-selected proposals will receive information regarding the evaluation report and score, but this information and the proposal will not be made public.

### **11.3 Grievance Committee**

44. With regard to any objections or grievances raised by institutions/centers not included in the final award selection, the ACE SC will set up a small Grievance Committee to which the applying institutions can submit grievances. The Grievance Committee will seek clarifications from the institution/center concerned, from the Independent Evaluation Committee, from the Regional Facilitation Unit and other relevant entities and provide a recommendation on behalf of the Steering Committee whether the grievance or appeal should be accommodated and any proposed modified evaluation/selection decision.

## Guidance on the strength-weakness-opportunity-threat-analysis (SWOT)

45. Among the main objectives of the ACE Project is the improvement of education and research management at African academic institutions towards higher levels of internationally recognized academic excellence. The assessment of the submitted ACE proposals therefore also entails an analysis of the proposal's strengths and weaknesses. This will be done through an analysis of the strengths, weaknesses, opportunities, and threats in the environment, a SWOT-analysis. The analysis will be conducted by the Independent Evaluation Committee at the level of the proposal and its submitting institution or center.

## Positioning and Benchmarking

46. The SWOT-analysis is first and foremost an instrument for reflection on the current position and future prospects of the anticipated ACE institution and its education and research proposal. An important goal of the SWOT-analysis is therefore to benchmark the proposal's position in the (inter)national and African academic and scientific arena, especially in relation to its main external partners/competitors.

## Undertaking the SWOT-analysis

47. In a SWOT-analysis, the education and research program proposed for ACE funding will be analyzed in four dimensions, two internal (strengths and weaknesses) and two external (opportunities and threats). The questions to be assessed in a SWOT-analysis are fairly simple and straightforward, undertaken, for example, through interviews with relevant stakeholders in and outside the organization. There are also more comprehensive methodologies through surveys and other quantitative techniques. The Independent Evaluation Committee is free to choose a method, as long as the analysis is based on evidence that is transparent in the context of the submission of the ACE proposal concerned.

*Table 5 Examples of questions to be answered in SWOT analysis*

Strengths	1	What advantages does the proposal have compared to other education and research groups in its national, African and/or international environment?
	2	What do other people see as the proposal's strong points
	3	What relevant resources does the proposal have access to?
Weaknesses	1	Which aspects of the ACE-proposing institution may be seen as sub-standard?
	2	Which aspects of the proposed activities could be improved?
	3	What kind of activities should the ACE-proposing institution avoid?
Opportunities	1	What are the interesting trends that can be seen in the ACE proposal ?
	2	Where or what are good opportunities facing the ACE-proposing center/institution?

		<p>Opportunities to be considered by the Committee can emerge from such elements as:</p> <ul style="list-style-type: none"> <li>• Changes in technology and markets on both a broad and narrow scale</li> <li>• Changes in government policy related to the ACE-proposed field</li> </ul>
		<ul style="list-style-type: none"> <li>• Changes in social patterns, population profiles, life style changes, etc.</li> <li>• Local Events</li> </ul>
Threats	1	What is the ‘competition’ in the ACE-proposed area doing better?
	2	Are there big changes in the requirements for the work in the ACE-proposed field?
	3	Is the ACE proposing institution facing a bad financial situation, and which money streams does this concern ?
	4	Does the ACE institution have significant problems finding, keeping and replacing qualified personnel ?

48. At the intersections of these four dimensions, four main strategic questions arise, as shown in the following matrix:

*Table 6 SWOT Dimensions*

	<i>Strengths</i>	<i>Weaknesses</i>
<i>Opportunities</i>	Strategic question: which opportunities can be exploited through the strengths of the institute well?	Strategic question: which opportunities may help overcome weaknesses?
<i>Threats</i>	Strategic question: how can the institute/center use its strengths to reduce its vulnerabilities?	Strategic question: to which threats is the institute/center particularly vulnerable and how can the center overcome these?

49. Based on this analysis, the assessment can draw conclusions about the ACE proposal’s position in the national, regional and international academic and scientific arena. It also identifies the elements of strategy, organization and/or education and research activities which are to be adjusted in order to meet the external opportunities and threats, reflecting the conclusions of the SWOT-analysis.

1. Automated Excel Sheet for Overall Evaluation of Project Proposals.

## **ANNEX 6: Data Verification Terms of Reference**

### **TERMS OF REFERENCE (TOR)**

#### **THIRD PARTY VERIFICATION OF DISBURSEMENT LINKED INDICATORS (DLIs) DRAFT**

### **A. BACKGROUND INFORMATION**

#### **The Association of African Universities (AAU)**

The Association of African Universities is the apex organization and forum for consultation, exchange of information and co-operation among institutions of higher education in Africa. It represents the voice of higher education in Africa on regional and international bodies and supports networking among institutions of higher education in teaching, research, information exchange and dissemination.

The Association was founded in Rabat, Morocco on November 12, 1967 in response to recommendations of a UNESCO conference held in September 1962. With an initial membership of 34, the Association now has 286 members drawn from 46 African countries, cutting across the language and other divides. Over the 46 years of its existence, the Association has provided a platform for research, reflection, consultation, debates, co-operation and collaboration on issues pertaining to higher education. Through its varied programmes it has established and increased its role in the five sub-regions of Africa and thus possesses a unique capacity to convene higher education institutional leaders and policy-makers from all parts of the continent and on key issues related to African higher education and development. In addition, the Association provides leadership in the identification of emerging issues and support for debating them and facilitating appropriate follow-up action by its members, partners (including other regional institutions such as UEMOA, CAMES etc.) and other stakeholders.

In pursuit of its objectives of promoting higher education in Africa, the AAU, with financial support from its members and funding partners undertakes programmes and activities that respond to topical issues and exigencies in African higher education. To ensure that its interventions are relevant to the needs of its members, the AAU holds a General Conference once every four years, and a Conference of Rectors, Vice Chancellors and Presidents of African Universities (COREVIP) biennially to take stock of its programmes and make recommendations, as well as deliberate on emerging issues in African higher education.

#### **The ACE Programme**

To accelerate growth and productivity as well as progress in reaching the Millennium Development Goals (MDGs), the region needs accelerated investment in the production of well in trained human capital, which remains both qualitatively and quantitatively woefully inadequate. In response to this expressed need, the World Bank together with an African Working Group designed a programme in the area of higher education in Africa - the so called African Centres of Excellence (ACE)-Programme. The objective of the Programme is to promote regional specialization among participating universities within areas that address particular regional development challenges and strengthen the capacities of these universities to deliver high quality training and applied research.

The ACE-Programme follows a regional as well as a cross-sectoral approach. The three sectors involved are Agriculture, Health and STEM (Science, Technologies, Engineering and Mathematics). This approach is found to be required to focus on specific developmental needs around three of the major applied sciences; and in order to integrate stakeholders of various levels, ensure spill-over throughout Africa and attract a critical mass of expertise from within Africa and internationally (economies of scope). It also ensures



economies of scale for less endowed neighboring countries, to become Africa Centers of Excellence. The ACEs will be selected by an independent panel comprised of mainly African experts in the mentioned fields, based on established criteria for evaluating their submitted proposal which are focusing on selected certain developmental challenges/ topics. As part of this proposal, the ACEs will decide which specific faculties will be part of their specific project.

The specific Programme Development Objective is to strengthen the capacity of targeted aspiring African Centers of Excellence (ACEs) and their partner institutions to deliver quality training and research in Science, Technology, Engineering and Mathematics (STEM), Agriculture, and Health sciences. The Programme consists of two components: Component 1 aims at strengthening the capacity of selected institutions to establish ACEs. These ACEs will deliver regional, demanded, quality training and applied research in partnerships with regional and international academic institutions and in partnership with industry. Component 2 includes regional activities to build capacity, support project implementation, develop regional policies, and monitor and evaluate progress. Furthermore, component 2 will, in a demand-driven manner, finance the ACEs strengthened under component 1 to scale-up support to selected West African countries which do not host a separate ACE.

The Programme will be implemented in phases. Phase I focusses on West Africa (launched in 2013), a Phase II focused on East and South Africa is planned to be launched following.

#### M&E within the ACE-Programme:

The ACE Project adopts a programme-for-results approach and therefore has a strong focus on monitoring and evaluation to facilitate the achievement of planned goals. Progress of implementation will be monitored at the level of the individual ACEs and their partner institutions (PIs), and the Regional Facilitating Unit (RFU). The information gathered will inform management decisions, strategic planning and risk management, and demonstrate the results, impact and cost effectiveness of the ACE-Programme. Additionally, the information collected will help determine disbursement of the grant.

To facilitate the process, an overall Results Framework (RF) was developed by the Bank in collaboration with the AAU and other key stakeholders, and with input from government and university representatives in the region. The RF features Individual ACEs, once selected, will develop more specific results frameworks detailing the expected results, indicators and targets specifically tailored to their proposed projects. ACEs will be required to collect and submit data biannually (November 15<sup>th</sup> and June 1<sup>st</sup>) to the Association of African Universities (AAU) which will be responsible for coordinating and supporting them in implementing and monitoring their projects. The data once received, compiled and analyzed, will be submitted to the World Bank (by Dec. 30<sup>th</sup> and June 30<sup>th</sup>) to inform project management and grant disbursement decisions.

### **B. OBJECTIVES**

The purpose of this assignment is to conduct an independent verification of progress on disbursement linked indicators (DLIs) before any disbursement can be done for the project under the DLI category of expenditure. This consultancy aims to: (a) design evaluation methodology for verification of the progress made on DLIs by the ACEs; (b) Conduct the verification in a transparent and independent manner such that it provides the robust evidence for decision-makers.

### **C. DURATION OF THE ASSIGNMENT AND WORK PLAN**

1. The assignment will be undertaken over a four-year period between June 1<sup>st</sup> 2014 and July 31<sup>st</sup> 2018. The successful firm/organization will need to maintain necessary presence in Accra, Ghana and the programme field in West and Central Africa (specifically, in Benin, Burkina Faso, Cameroon, Ghana, Nigeria, Senegal, and Togo) It is expected that the consultancy will have a total duration of about one month per year.

2. The verification activity will commence on xx 2015 or shortly thereafter. By xx 2015 a draft report will be submitted and the final report will be finalized by xx , 2015. These dates are expected to be strictly adhered to. This will be repeated every year until the last DLIs are to be achieved in 2018. The consulting firm/agency may also be required to do an interim evaluation of carryover DLIs as an exception.
3. The Firm/Agency is expected to develop methodology and schedule of the evaluation plan with relevant set of instruments for conducting the study. The work plan shall provide details of how all the various tasks, sub-tasks, and activities will be undertaken; specific timelines for each task; logistic and manpower resources for entire period of the assignment. The proposed work plan should be consistent with the technical approach and methodology, reflecting understanding of the scope of work. During mobilization, and having studied the operational budget and logistics, the Consultant shall produce an updated work plan for review and approval. This revised work plan will form the basis for execution, supervision and progress and shall not be modified or revised by the Consultant without prior approval by AAU and the World Bank.
4. The World Bank/RFU reserves the right to reject the instruments or re-negotiate with the Agency about modifications to the set of instruments or methodology.
5. The assignment will be consulted and coordinated under AAU and the Programme Coordinator will be the key focal person for management coordination.
6. Payment schedule will be agreed upon in advance of contract finalization, and will include first release of advance upon contract signing, and lump sums after major deliverable milestones.

#### D. SCOPE OF WORK/ SPECIFIC TASKS AND METHODOLOGY

A third party firm or organization is required to design, conduct, and analyse the baseline and follow-on studies that will evaluate the DLIs. The project has 12 DLIs with 20 associated annual DLI targets. Each DLI target has a specific timeline and achievement level linked to it. The primary task of this exercise will be to carry out transparent and impartial verification of the DLIs under various components of the project. The subcomponents that have specific DLIs are *Institutional Qualification*, *Education Capacity (excellence)*, *Research Capacity*, *Development Impact*, *Financial Management*, and *Procurement*. Table 1 below provides an overview of the DLIs, annual targets and data sources for verification. For each of the sub components, the agency will be required to undertake the following measures to ascertain the validity of associated DLIs:

- annual audits and assessment of each of the ACEs and the RFU at various levels;
- chart of progress against the DLIs that are expected to be achieved in any particular year;
- In case of non-achievement of targets, the agency is required to analyse the functioning of these;
- centres, and identify their major barriers and challenges which impede progress towards the desired objectives; and
- propose plausible solutions and strategic action plans to overcome the challenges identified and thereby enhance the effectiveness & efficiency of the ACEs and their monitoring and evaluation systems.

Objective	Indicator	Minimum target (project duration)	Target (project duration)	Importance (Share of grant)	Regional emphasis	Data Sources
Institution qualified, Regional specialization approved and Administrative capacity and proper planning	▪ Steering Committee created and regional specialization through ACEs endorsed	□		10%	No	
	▪ Creation of ACE designated account / endowment fund					
	▪ Signing of partner agreements					

Objective	Indicator	Minimum target (project duration)	Target (project duration)	Importance (Share of grant)	Regional emphasis	Data Sources
	▪ Increased financial autonomy					
Strengthened education capacity (excellence)	N# of new students in ACE courses (30% must be regional students*):				Yes	
	□ <b>New PhD students</b>	<b>40</b>	<b>46</b>			
	□ New PhD students (national)	□□	□□	□ 5%		
	□ New PhD students regional	□□	□□			
	□ <b>New Master Students</b>	□□□	□□□	□		
	□ New Master Students (national)	□□□	□□□	□ 5%		
	□ New Master Students (regional)	□□	□□			
	□ <b>New Short term</b>	□□□□	□□□□			
	□ New Short term (national)	□□□	□□□	□ 5%		
□ New Short term regional	□□□	□□□				
Strengthened Education capacity & Development impact	□ N# of outreach “periods”	□□□	□□□	□ 10%	national	
		□□	□□		regional	
Strengthened education capacity (excellence)	International accreditation	1	1	□ 10%		
	Gap assessment certified			□		
	Self-evaluation			□		
	Regional CAMES	1	1	□		
	Bologna Compliant programs			□		
Strengthened research capacity (excellence)	N# of published articles in internationally recognized and peer reviewed journals****	□□	□□	□ 10%	simple	
		□□	□□		coauthored regionally	

Strengthen education and research capacity (through increased financial sustainability) and demonstration of value to students and partners	<input type="checkbox"/> \$ externally generated revenue*****	□□□□□□□□	□□□□□□□□	<input type="checkbox"/> 15%	Regional	
					national	
Strengthened education and research capacity	<input type="checkbox"/> Improved teaching and learning environment as per approved proposal (institutional specific annual milestones)	<input type="checkbox"/> Meeting 4 annual milestones	<input type="checkbox"/> Meeting 4 annual milestones	<input type="checkbox"/> 10%	No	
<b>Objective</b>	<b>Indicator</b>	<b>Minimum target (project duration)</b>	<b>Target (project duration)</b>	<b>Importance (Share of grant)</b>	<b>Regional emphasis</b>	<b>Data Sources</b>
Financial Management	<input type="checkbox"/> Submission of timely withdrawal application by ACE to the Bank through the coordinating government agency on an annual basis. The Withdrawal application should be submitted with quality documentation related to the achievements made on the DLIs and certified EEPs.	<input type="checkbox"/> Timely submission	<input type="checkbox"/> Timely submission	<input type="checkbox"/> 5%	No	
Procurement	<input type="checkbox"/> TBC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> 5%	No	
Fonctionnement du Centre	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
<b>TOTAL</b>				<b>90%</b>		

### E. DELIVERABLES AND TIMELINES

The selected firm/agency shall provide the following deliverables during the course of the implementation of the assignment in a timely manner. All deliverables have to be authorized and approved by the WB and RFU (AAU).

1. The list of deliverables includes but is not limited to the following:
  - a) Methodology of the verification exercise.
  - b) Survey questionnaires
  - c) Verification Indicators and checklist
  - d) Form/Instrument used for validation exercise.
  - e) Data entry template and coding scheme
  - f) Detailed activity plan for conducting the verification exercise.
  - g) Field data collection report; field quality control report
  - h) Analysis of the findings of the verification exercise.
  - i) Scanned copies of all completed questionnaires
  - j) Brief note/report reviewing the methodology and tools used and providing recommendations for future improvements.
2. Report (both qualitative and quantitative) on variations and discrepancies on the DLI activities
3. Identification of impediments (if any) in the timely achievement of the benchmarks and possible remedial measures

## F. RESPONSIBILITIES

### (i) Additional Responsibilities for the Consultant

#### General Oversight:

The Consultant shall be responsible for overall management of the services including supervision and management of the study, team training, liaison with AAU and other parties, and ensuring quality control of services. As part of project management, there will be biweekly progress meetings (physical or via internet) between the WB, AAU and the Consultant. The Consultant shall produce minutes of the proceedings. The Consultant shall submit all the deliverables to ACE Programme Coordinator.

#### Professional Profile of Consultant:

The Consulting Firm or Agency should:

1. Be a registered agency/organization operating under either international regulations or the rules of its host Government.
2. Have a minimum of five years of experience in evaluating education and related services with extensive
3. experience in developing countries
4. Be financially sound, well reputed and with a sound track record of successful implementation of assignments with the World Bank or similar international organisation
5. Have proven experience of successfully carrying out high quality process and output evaluations in developing countries
6. Have an evaluation team that has all relevant expertise and skills to carry out the verification exercise.
7. Criteria for selecting the firm or agency shall include:
  - i. Experience of the firm with details of the relevant evaluation work
  - ii. Strength of Financial Statement
  - iii. CVs with Qualification of relevant staff.
  - iv. Staff with good communication skills in English and French both written and oral
  - v. Relevant testimonials provided by the firm
  - vi. Soundness and applicability of the proposal
  - vii. An understanding of the university system in West and Central Africa would be desirable.

#### Consultant Staff:

The Consultant is expected to put together a team of appropriate experts to undertake the individual tasks as outlined in the work plan. CVs for experts other than the Consultant (Team Leader) will not be examined during the proposal review process. However, the name of the proposed experts, their input and position shall be indicated both in the technical and in the financial proposals with indications of proposed fee rates for each expert.

#### Inputs:

In addition to technical expertise, the consultant shall be responsible for arranging and providing any additional resources required to carry out the work, including but not limited to the following: Ground transportation;  
Communication;  
Report preparation;  
Office Space and Equipment; and Translations/Interpretation (if needed).

## **(ii) Responsibilities of AAU**

### Logistics:

The list of facilities to be provided by AAU will be finalized during negotiations. The Consultant should note that all capital items purchased under this contract will be the property of the ACE Programme at the end of the services. The Consultant will be expected to operate within the approved plan and budget and will not deviate without prior approval by the AAU/World Bank. The Consultant will be provided with relevant programme documents as required.

### **G. APPLICATION**

A technical and financial proposal should be submitted separately by email to [ace@aau.org](mailto:ace@aau.org) within four weeks of hiring the consultant. The assignment could be undertaken by single consultants or by a firm, applications from both are welcome. A notification that the application has been received will be sent automatically to the sender.

The AAU in collaboration with World Bank will execute the consultant selection process in a transparent and merit-based approach. The Consultant will be selected following the World Bank's Guidelines

# **Africa Centre of Excellence**

## **[Project title]**

**[ACE proposal number]**

### **Implementation Plan**

**2014 – 2018**

**(Draft February 26 2014)**

**[List of content and abbreviations as applicable]**





## BRIEF NARRATIVE SUMMARY (max 2 pages)

Focus on motivation, objectives, methodology, results and partnerships. Must include a section on important changes made. *(Please remember to use the reviewers' feedback as applicable)*

## OVERVIEW OF PLANNED OUTPUTS, ACTIVITIES AND COST FOR FIRST YEAR

**Table 1: Overview of first project year** (this table is closely linked to section 7, as each activity row here in table 1 will require a separate activity sheet in section 7)

Code	Priority Rank	Result/Activity/Task	Budget Estimate (US\$)		
			ACE leader	Partners	Total
<b>Action Plan1</b>	<b>(1 highest 5 lowest)</b>	<b>(Expected output)</b>	<b>(Component total for ACE leader)</b>	<b>(Component total for partners)</b>	<b>(Total of component)</b>
<i>(Insert subcomponent number)</i>		<i>(title of sub-component)</i>			
	<b>(rank)</b>	<i>(Insert activity number and title)</i>	<i>(list amount for ACE leader)</i>	<i>(list amount for partner)</i>	<i>(list total amount for activity)</i>
	<b>(rank)</b>	<i>(Insert activity number and title)</i>	<i>(list amount for ACE leader)</i>	<i>(list amount for partner)</i>	<i>(list total amount for activity)</i>
<b>Action Plan2</b>	<b>(1 highest 5 lowest)</b>	<b>(Expected output)</b>	<b>(Component total for ACE leader)</b>	<b>(Component total for partners)</b>	<b>(Total of component)</b>
		<b>Sup-total</b>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>
		<b>Contingency</b>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>
<b>TOTAL BUDGET</b>			<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>

\*Add rows as applicable.

\*\*Please make each course and each research project as a separate activity

**Table 2: Overview distribution among partners** (this table is a breakdown of the partner budget in table 1, so the last column here in table 2 must match the second last column in table 1)

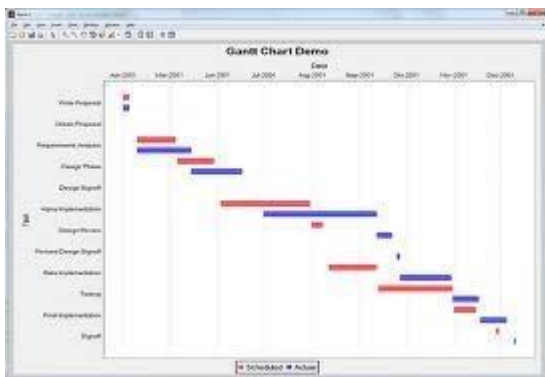
Code	Result/Activity/Task	Budget Estimate (US\$)						
		<i>(write partner name)</i>	<i>(write partner name)</i>	<i>(write partner name)</i>	<i>(write partner name)</i>	<i>(write partner name)</i>	<i>(write partner name)</i>	<b>Total Partner Budget</b>
<b>Action Plan1</b>	<b>(Expected output)</b>	<b>(Component total for partner)</b>	<b>(Component total for partner)</b>	<b>(Component total for partner)</b>	<b>(Component total for partner)</b>	<b>(Component total for partner)</b>	<b>(Component total for partner)</b>	<b>(Partners total of component)</b>
	<i>(title of sub-component)</i>							

<i>(Insert subcomponent number)</i>	<i>(Insert activity number)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list total partner amount for activity)</i>
	<i>(Insert activity number)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list amount)</i>	<i>(list total partner amount for activity)</i>
<b>Action Plan2</b>	<b><i>(Expected output)</i></b>	<b><i>(Component total for partner)</i></b>	<b><i>(Component total for partner)</i></b>	<b><i>(Component total for partner)</i></b>	<b><i>(Component total for partner)</i></b>	<b><i>(Component total for partner)</i></b>	<b><i>(Component total for partner)</i></b>	<b><i>(Partners total of component)</i></b>

\*Add rows and adjust columns as applicable.

## TIMING OF PLANNED ACTIVITIES FOR ENTIRE PROJECT PERIOD (Gantt chart)

**Table 3: Work plan for the project**



Gantt carts can be made in excel, hand drawn or by using freeware (e.g. <http://www.ganttproject.biz/>) as applicable

## IMPLEMENTATION ARRANGEMENTS

### 4.1 Guiding rules and regulations

*(Briefly describe the rules that governs the ACE and its partnerships, including safeguarding against fraud/corruption)*

### 4.2 Governance structures

*(Briefly describe ACE governance structures both within the host university and among the partner institutions, at faculty/centre level and university/institution level )*

### 4.3 Incentive structures

*(Briefly describe the incentive structures for involved staff at lead and partner institutions (faculty, administration, management) as well as towards involvement of external stakeholders, e.g. private sector). Please be aware that the ACE project budget does not support salary topping up, sitting allowances and a like).*

#### **4.4 Roles and responsibilities**

*(Brief Terms of Reference (TOR) for each ACE team member and project financed support staff\*)*

*\*Justification for not using existing university administrative and support staff is required.*

#### **4.5 Environment safeguards**

*(Insert the Environmental Management Plan and disclosed on your website, please list responsible staff)*

### **PERFORMANCE MONITORING**

*(Please insert the Result Framework shared with AAU, and please indicate planned disbursement as a function of the expected results\*)*

<b>Disbursement Linked Indicator</b>	<b>Action to be Completed</b>	<b>Amount (USD) of the Financing Allocated Per DLI (expressed in <i>Special Drawing Rights</i> (SDR))</b>	<b>Amount (USD) Allocated per DLR for the Disbursement Calculation (expressed in SDR)</b>
<b>DLI 1:</b>	<b>DLR 1.1</b>  <b>DLR 1.2</b> <i>(add as applicable)</i>		
<b>DLI 2:</b>	<b>DLR 2.1</b>  <b>DLR 2.2</b> <i>(add as applicable)</i>		
<b>DLI 3</b>	<b>DLR 3.1</b>  <b>DLR 3.2</b> <i>(add as applicable)</i>		

<b>DLI 4</b>	<b>DLR 4.1</b>		
	<b>DLR 4.2</b> ( <i>add as applicable</i> )		

## DETAILED BUDGET

**Table 5: Budget, 2014 – 2018 with split between partners**

Expenditure Category	Estimated Costs in (US\$)						
	YR 1 2014	YR 2 2015	YR3 2016	YR 4 2017	YR5 2018	Total	%of total
<b>A: Budget by Activity Plan</b>							
Action Plan 1: ( <i>write title</i> )							
Action Plan 2: ( <i>write title</i> )							
Programme Management							
Contingency							
<b>TOTAL</b>							
%							
<b>B: Budget by partners</b>							
( <i>Lead institutions name</i> )							
( <i>Name of partner</i> )							
( <i>Name of partner</i> )							
<b>TOTAL</b>							

\*Add rows as applicable.

## DETAILED ACTIVITY SHEETS (one for each activity)

**Action Plan:**

**Timeframe:**      **Activity:**

RESULT	
ACTIVITY	
OUTPUT	
OUTPUT INDICATOR	SOURCE OF VERIFICAT
IMPLEMENTATION MILESTONES	
PROCUREMENT	
RESPONSIBILITY FOR IMPLEMENTATION	

DURATION:

Commencement:

Budget Line  
Analysis

1<sup>st</sup> Qtr

2<sup>nd</sup> Qtr

3<sup>rd</sup> Qtr

4<sup>th</sup> Qtr

5<sup>th</sup> Qtr

PRIMARY CONSTITUENTS:

PARTICIPANTS:

ASSUMPTIONS

FINANCIAL IMPLICATIONS

1

2

3								
4								
5								
TOTALS								



## DETAILED ACTIVITY SHEETS (with explanatory notes)

**Action Plan:** List name of Action Plan

**Timeframe:** State the planning period

**Activity:** Code and Name

:

Split activity into tasks if these are discrete and have distinct outputs. It should not be a sequential listing of actions that progressively lead to the same output.

RESULT	Expected result of the activity	
ACTIVITY	As above	
OUTPUT	Specify the direct tangible product(s) and/or services, capital goods, changes expected after the completion of the task. This output should logically be contributing to the attainment of ACE objective.	
OUTPUT INDICATOR		SOURCE OF VERIFICATION
Indicate the quantitative and/or qualitative statistic/parameter that provides a simple and reliable means to measure achievement.		Specify source of the information for the measurements/indicators specified.
IMPLEMENTATION MILESTONES	State the prior, more easily achieved and measured short term and intermediate changes that lead to the long term outcomes. Milestones indicate the interim measurable landmarks, sub-tasks, or what needs to be accomplished over time and are useful for planning concise short term strategies and collaborations that contribute to full implementation of a stated activity and achievement of long term outcomes (e.g. products related to knowledge - guidelines, strategies, analysis; products related to physical dimension - medicine/minerals/food; products related to behaviour change - campaigns, TV and radio programmes, documentaries, shows, public debates; products related to capacity development - conferences, working groups, trainings; products related to use of results - using policy and technology-related research-based knowledge, strengthening capacity to use research, public awareness, political will, policy adoption and implementation, physical and social changes in lives and communities including negative and positive changes, reversals and backlash, gender equality and women's empowerment).	
PROCUREMENT	Indicate any procurement preference and the major cost elements (e.g. hardware, software, tickets and travel, equipment, consultancies, etc.) and/or conditionality associated with source of funding	

<p><b>RESPONSIBILITY FOR IMPLEMENTATION</b></p> <hr/> <p><b>DURATION:</b> (Indicate average estimated time for sub-task indicated by Milestones if applicable)</p> <hr/> <p><b>PRIMARY CONSTITUENTS:</b> groups, organisations, whether targeted or not that will be most affected</p> <hr/> <p><b>ASSUMPTIONS</b></p> <hr/> <p><b>FINANCIAL IMPLICATIONS</b></p> <hr/> <p>Budget Line (give Code of Activity)</p> <p>Analysis</p> <hr/> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: center;">1</td> <td>Major Cost item</td> </tr> <tr> <td style="text-align: center;">2</td> <td></td> </tr> <tr> <td style="text-align: center;">3</td> <td></td> </tr> <tr> <td style="text-align: center;">4</td> <td></td> </tr> <tr> <td style="text-align: center;">5</td> <td></td> </tr> </table>	1	Major Cost item	2		3		4		5		<p>Assign names (office, individual, organizations) associated with the specific task.</p> <hr/> <p>as</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Commencement: Dates</div> <p>Identify the individuals, .</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> <b>PARTICIPANTS:</b> Specify collaborators (directly contributing towards implementation) and/or those that will exert influence on success.     </div> <p>(if any) the key factors or risks which could affect the progress</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">       Estimate in the section below, the costs of the intervention in the milestones, the coverage of each intervention or activity associated unit costs. State any specific concerns: e.g. cost in programmatic areas, areas that have been omitted and which address specific needs, improving adherence to procedures associated increase in cost.     </div> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 10%; text-align: right;">) Total</td> <td style="width: 15%;"></td> <td style="width: 15%; text-align: center;">1<sup>st</sup> Qtr</td> <td style="width: 15%; text-align: center;">2<sup>nd</sup> Qtr</td> <td style="width: 15%; text-align: center;">3<sup>rd</sup> Qtr</td> <td style="width: 15%; text-align: center;">4<sup>th</sup> Qtr</td> <td style="width: 15%; text-align: center;">5<sup>th</sup> Qtr</td> </tr> </table>	) Total		1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	5 <sup>th</sup> Qtr
1	Major Cost item																	
2																		
3																		
4																		
5																		
) Total		1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	5 <sup>th</sup> Qtr												

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TOTALS

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***Example:***

**Strategic Priority: Visioning Africa's agricultural transformation – with foresight, strategic analysis and partnerships**

**Work plan: Year 1: 01.01.2014 to 31.12.2014**

**Activity: 1.1.** Advocate for the adoption of innovation systems approaches – specifically for IAR4D relative to conventional approaches in various African contexts.

**Sub-Activity/Task: 1.2.2.1.** Organize dialogues to share information on IAR4D and innovation platforms, mainstream the IAR4D IP concept into country processes for implementation of CAADP, establish pilot IPs in the non-SSA CP countries and training-of-trainers.

RESULT	<i>Functional partnerships and platforms among African stakeholders (intra-continental) and between them and northern and southern partners (Africa–South, Africa–North and Africa–South–North) for agricultural research and innovation.</i>						
SUB ACTIVITY or TASK	Organize dialogues to share information on IAR4D and innovation platforms, mainstream the IAR4D and IP concepts into country processes for implementation of CAADP, establish pilot IPs in the non-SSA CP countries and training-of-trainers.						
OUTPUT	Critical mass of ARD stakeholders with capacity to implement IAR4D concept developed						
OUTPUT INDICATOR	<ul style="list-style-type: none"> <li>• Number of NARS researchers and research managers participating in IAR4D training.</li> <li>• Number of Country CAADP implementation plans reviewed and found to embrace IAR4D concept</li> <li>• Replications of IAR4D processes and IPs (number of IPs established in non-SSA-CP countries).</li> </ul>					SOURCE OF VERIFICATION	
						<ul style="list-style-type: none"> <li>• Country CAADP plans</li> <li>• SSA CP reports</li> </ul>	
IMPLEMENTATION MILESTONES	<ul style="list-style-type: none"> <li>• Workshop on IAR4D in each SRO region for at least 20 NARS research managers by 30 May 2014.</li> <li>• One strategic document on modalities to integrate the IAR4D concept into the CAADP country process, developed, validated and disseminated by 30 June 2014.</li> <li>• At least 10 pilot innovation platforms established in non-SSA-CP countries by 30 November 2014.</li> <li>• At least 3 TOT workshops on IAR4D involving 40 researchers by 31 December 2014.</li> </ul>						
PROCUREMENT	Consultants to review Country CAADP documents, facilitate workshops and training; Printing of capacity development manual in IAR4D						
RESPONSIBILITY FOR IMPLEMENTATION	SSA-CP Team						
DURATION: 12 months	Commencement: 01 January 2014			Completion: 31 December 2014			
PRIMARY CONSTITUENTS: NARIs, Ministries of Agriculture, SSA CP stakeholders, SROs	PARTICIPANTS: Other NARS constituents						
ASSUMPTIONS	Policy system will be supportive at all level						
FINANCIAL IMPLICATIONS	Budget from SSA-CP						
Budget Line 1.2.2.1	1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	5 <sup>th</sup> Qtr	6 <sup>th</sup> Qtr	Total
Analysis							

1	Workshops for NARS Research Managers in each SRO region	-
		-
2	Meetings and review of Country investment plans	50,000
3	Establish new IPs to scale out IAR4D concept in non-SSA CP countries	-
		-
4	Document modalities for integration of IAR4D into the country process.	50,000
5	Training of Trainers on IAR4D	
<b>TOTALS</b>		

**Example:**

**Strategic Priority: Integrating capacities for change – by connecting and learning**

**Work plan:** 01.01.2014 to 31.12.2014

**Activity: 1.2** Identify and promote suitable teaching, learning and knowledge-sharing approaches that are user-friendly and gendersensitive

**Sub-Activity/Task: 1.2.1.** Develop an integrated platform for eRAILS / KnowledgeCAP and Web 2 tools for capacity strengthening information exchange and learning

<b>RESULT</b>	<i>Communities of Practice addressing identified capacity deficits (in the design and implementation of R &amp; D programmes)</i>						
<b>SUB ACTIVITY or TASK</b>	Develop an integrated platform for eRAILS / KnowledgeCAP portal and Web 2 tools for information exchange and learning						
<b>OUTPUT</b>	Functional integrated platform for capacity strengthening information exchange and learning installed at continental level and accessible by target institutions						
<b>OUTPUT INDICATOR</b>				<b>SOURCE OF VERIFICATION</b>			
<ul style="list-style-type: none"> <li>Number of users accessing the platform</li> </ul>				<ul style="list-style-type: none"> <li>Stakeholder reports</li> </ul>			
<b>IMPLEMENTATION MILESTONES</b>	<ul style="list-style-type: none"> <li>Integration protocol agreed with consultant by 30 April 2014</li> <li>System integration accomplished by 30 May 2013</li> <li>Training of trainers organized by 30 June 2014</li> <li>Relevant information updated by 31 December 2014</li> </ul>						
<b>PROCUREMENT</b>	Individual Consultancy and report printing						
<b>RESPONSIBILITY FOR IMPLEMENTATION</b>	Director and Team						
<b>DURATION:</b> 12 months		Commencement: 01 January 2014			Completion: 31 December 2014		
<b>PRIMARY CONSTITUENTS:</b> FARA				<b>PARTICIPANTS:</b> CTA, RUFORUM, ANAFE, TAE institutes			
<b>ASSUMPTIONS</b>	KnowledgeCAP portal ready for integration with eRAILS platform						
<b>FINANCIAL IMPLICATIONS</b>	Budget from MDTF						
Budget Line 2.2.2.1	1 <sup>st</sup> Qtr	2 <sup>nd</sup> Qtr	3 <sup>rd</sup> Qtr	4 <sup>th</sup> Qtr	5 <sup>th</sup> Qtr	6 <sup>th</sup> Qtr	Total

Analysis		
		25,000
1	Consultancy to develop an integrated platform for info exchange and learning	-
2	Training of trainers Workshop for the use of the platform	-
3	Editing, translating and printing of report	-
		25,000
4	Hosting and maintenance of the platform	
<b>TOTALS</b>		

**ANNEX 8: INDICATOR TRACKING TABLE**

<b>Project Title:</b>		<b>Total Grant Amount (US\$):</b>	
<b>Grant ID #:</b>		<b>Total Disbursement:</b>	
<b>Grantee Institution:</b>		<b>Total Period Expenditure:</b>	
<b>Grant Start Date:</b>		<b>Reporting Period:</b>	
<b>Grant End Date:</b>		<b>Date of Submission:</b>	
<b>Project Coordinator:</b>		<b>Reporting Officer:</b>	

Performance Indicator	Indicator definition and unit of measurement	Baseline	Annual Target	Person Responsible for tracking	Semester 1: Planned			Semester 1: Achieved			Performance	
					Q1	Q2	Total	Q1	Q2	Total	%	Remarks
<b>Training and Research Quality</b>												
No. of internationally (regionally/subregionally) accredited education programs (→ Training Quality)	<b>Def:</b> Count of relevant projects  <b>Unit:</b> Number	?	?									



Performance Indicator	Indicator definition and unit of measurement	Baseline	Annual Target	Person Responsible for tracking	Semester 1: Planned			Semester 1: Achieved			Performance	
					Q1	Q2	Total	Q1	Q2	Total	%	Remarks
Amount of externally generated revenue by the ACEs (→ <i>Training &amp; Research Quality</i> )	<b>Def:</b> Amount of US Dollars generated from outside CERHI as percentage of total US Dollars generated by CERHI  <b>Unit:</b> US Dollars and percentage	200,000	n/a									
No of faculty trained in an area relevant to the ACE-Programme, through training carried out by or organized through the ACEs (→ <i>Training Quality</i> )	<b>Def:</b> Count of faculty trained in relevant area  <b>Unit:</b> number	?	?									

No of newly established or revised curricula (meeting labor market skills), as approved by the appropriate institutional organ	<b>Def: Count of new/revised curricula</b>  <b>Unit: Number</b>	?	?									
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Performance Indicator	Indicator definition and unit of measurement	Baseline	Annual Target	Person Responsible for tracking	Semester 1: Planned			Semester 1: Achieved			Performance	
					Q1	Q2	Total	Q1	Q2	Total	%	Remarks
(→ Training Quality)												
Increase of internationally recognized research publications in disciplines supported by the ACE-Programme (in %)  (→ Research Quantity and Quality)	<b>Def: # of</b> Internationally recognized publications as % of total number of publications produced by ACE  <b>Unit: %</b>	20	25									

No of non-national students enrolled in new specialized Master, PhD, postgrad, post-doc and/or short-term courses/ programs [% of which are females] (→ Regionality)	<b>Def:</b> Count of non –national students in new ACE courses  <b>Unit:</b> Number	4	n/a									
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Performance Indicator	Indicator definition and unit of measurement	Baseline	Annual Target	Person Responsible for tracking	Semester 1: Planned			Semester 1: Achieved			Performance	
					Q1	Q2	Total	Q1	Q2	Total	%	Remarks
No. of Students /faculty with at least 1 month internship in a private sector company or local institutions relevant to their field/ sector (→ Outreach)	<b>Def:</b> Count of students or faculty with at least 1 month internship in reproductive health private company or institution  <b>Unit:</b> Number	?	?									

% of non-national students studying for at least 1 semester/ academic term in ACEs, in a discipline supported through the ACE Programme (→Regionality)	<b>Def:</b> Count of non-national students studying for at least 1 semester at ACE on programme supported course as % of total # of Students studying for at least one year  <b>Unit:</b> Percentage	?	?									
No of partnership agreements including a 3-5 year	<b>Def:</b> Count of partnership agreements	?	?									
<b>Performance Indicator</b>	<b>Indicator definition and unit of measurement</b>	<b>Baseline</b>	<b>Annual Target</b>	<b>Person Responsible for tracking</b>	<b>Semester 1: Planned</b>			<b>Semester 1: Achieved</b>			<b>Performance</b>	
					<b>Q1</b>	<b>Q2</b>	<b>Total</b>	<b>Q1</b>	<b>Q2</b>	<b>Total</b>	<b>%</b>	<b>Remarks</b>

cooperation implementation plan, signed by academic leaders from ACEs and engaged Partner Institutions (→ Outreach/ Regionality)	<b>Unit:</b> Number											
Regular ACE Board Mtg.'s taking place with openly disclosed minutes (→ Admin./Governance Quality)	<b>Def:</b> Count of CERHI Board meetings  <b>Unit:</b> Number	0	?									
Annual disclosed unqualified external financial audit with the ACE annual budget (planned and executed) (→ Admin./Governance Quality – FM)	<b>Def:</b> Audit report available and accessible  <b>Unit:</b> ????	0	1									

## Guidelines

### Project Information

1. **Project Title:** Enter the project title as it appears in the project proposal
2. **Grant ID #:** Enter Grant ID # as stated in Grant Agreement
3. **Grantee Institution:** Enter name of main beneficiary institution
4. **Grant Start Date:** Enter the start date of the grant as noted in the Grant Agreement
5. **Grant End Date:** Enter the end date of the grant as noted in the Grant Agreement
6. **Project Coordinator:** Enter name of Officer designated as Project Coordinator
7. **Total Grant Amount:** Total amount of grant awarded as stated in the Grant Agreement
8. **Total Disbursement:** Total amount of grant disbursed from project start to current date
9. **Total Period Expenditure:** Enter the date stated as the starting date in the Grant Agreement
10. **Reporting Period:** Enter the quarter for which the report is being submitted
11. **Date of Submission:** Enter the date on which the report is being submitted
12. **Reporting Officer:** Enter the name of the Officer submitting the report and his role in the project