

DFID DEPARTMENT FOR
INTERNATIONAL DEVELOPMENT

**EDUCATION
DEPARTMENT
RESEARCH STRATEGY
2000-2003**

**INFORMATION FOR
APPLICANTS**

Education Department
DFID 94 Victoria Street
London SW1E 5JL
June 2000

STATEMENT OF PURPOSE

*The international development goal of reducing by one half the proportion of people living in extreme poverty will not be achievable by 2015 **unless greater numbers of people are able to develop and utilise knowledge and skills necessary for their own development, and thereby contribute to their country's development***

DFID White Paper 1997

Education Department Statement of Purpose on Research

The main purpose of research is to contribute the DFID's aim of playing a strategic and practical role in efforts to achieve International Development Targets. Therefore, research will support the objectives of DFID and education department's role in that process. The research strategy will be proactive, transparent and build knowledge about development . It will strive for equality of opportunity and be mindful of the situation of women, girls, the disabled and those whose access to education for whatever reason is restricted. Above all, research will inform the processes of policy formation and development practice both in the developing and the developed world.

The Knowledge For Education and Development Team, Education Department, 94 Victoria Street, London SW1E 5JL. United Kingdom

Tele: +44 (0) 171 917 0920

Fax: +44 (0) 171 917 0287

E-Mail: R-Tyrer:M-Harrison:E-Cassidy:M-Waltham:
M-Poston:D-Quinn [All @dfid.gov.uk]

Web: <http://www.dfid.gov.uk>

THE TERMS AND CONDITIONS CONTAINED IN THIS INFORMATION PACK ARE UNDER REVIEW. COMMENTS ARE SOUGHT TO INFORM THE NEW RESEARCH STRATEGY COMMENCING IN APRIL 2001. PLEASE ASK YOURSELF WHAT INFORMATION WOULD ASSIST ME WHEN APPLYING FOR EDUCATION DEPARTMENT RESEARCH FUNDING?

TABLE OF CONTENTS

Who is Eligible for Education Department Research Funding?	5
What Costs will Education Department Fund?	5
What Happens Once A Proposal is Approved?	5
What Are the Reporting Requirements of a Project?	6
How are Education Department Research Results Disseminated?	8
Further Information	9

Annexes

1	Education Department Application Form To be completed for all applications [A disc copy and a hard copy are required]	10
2	DFID/Education Department General Terms and Conditions for Research Contracts [2000]	15
3	Financial Planning Sheet	24
4	Sample Quarterly Report Form	25
5	Highlights Summaries [with a sample summary]	26

WHO IS ELIGIBLE FOR DFID EDUCATION DEPARTMENT RESEARCH FUNDING?

1 Only institutional applications are eligible. Individual applicants will only be considered if prior institutional affiliation has been arranged (e.g. via a Visiting Fellowship or attachment).

2 Currently education department normally gives funds to researchers in other countries only in collaboration with UK institutions. This policy is under review. However collaboration and partnership with non-UK research institutions in the north and south is required. The quality of partnership proposed will be one of the criteria by which the research project is judged. In particular DFID and education department expect relationships with developing country institutions to show characteristics of being true partnerships rather than merely reflecting delegations of in-country data collection.

WHAT COSTS WILL EDUCATION DEPARTMENT FUND?

3 We will meet the cost of carrying out the research effectively to a high standard.

4 Allowable research costs include the following:

- research staff salaries
- other staff salaries (e.g. administrative and secretarial support)
- local staff salaries
- travel (overseas and domestic)
- subsistence overseas
- equipment (specific to the research project and generally on larger projects only)
- dissemination (workshops, printing costs etc.)
- general administrative costs (telephone, fax, photocopying etc.)

5 Normal institutional overhead rates should be added to the proposal. **These can be charged as a percentage of UK-based research staff only.**
[This policy is currently under review]

6 Research costs should be broken down by financial year. **If the proposal is approved**, a quarterly breakdown of costs will be required.

7 **Funding will not normally be made available until three months from the date of the Research Board.** In other words, funding for proposals approved in September will be available from the following January.

8 A sample Financial Planning Sheet form is included in the Application Form.

WHAT HAPPENS ONCE A PROPOSAL IS APPROVED?

9 If approved, with suggested changes agreed by the lead researcher, proposals need to be transmitted electronically (or on disk) to education department, in a format compatible with Word 7 for Windows 95 and/or Excel. For those proposals approved without changes we will already hold the disc and a hard copy.

10 A quarterly breakdown of expenditure over the coming financial year is required.

11 When signed, the application with associated Terms and Conditions, becomes the contract. This contract is not negotiable and applicants should be clear on this point before applying.

12 It is the responsibility of the researcher to gain the necessary research and other government clearances for the research and fieldwork once the proposal has been approved and to satisfy DFID that this is the case.

13 Projects approved must adhere strictly to the agreed milestones. Slippage of funds between financial years is not normally allowed.

14 **Researchers will be required to submit quarterly financial records confirming that expenditure is on course and monitoring progress against intended targets.** Failure to submit these quarterly reports will result in delays in payments.

15 Researchers who have never had a contract are strongly advised to contact the department so that procedures can be explained and questions answered.

WHAT ARE THE REPORTING REQUIREMENTS OF A PROJECT ?

QUARTERLY PROGRESS REPORTS

16 Brief quarterly reports are required for all projects. These provide regular information for monitoring the progress and financial status of projects, against the plans in the application form. They alert DFID to any significant changes in these plans and allow DFID to make the best use of the limited funds available for education research. For instance, funds can be made available to fund other research if slippage is foreseen.

Progress reports cover the following issues:

- actual invoiced expenditure for the quarter and forecast of future expenditure for the year by quarter
- summary of activities during the quarter, including key findings and dissemination
- planned activities for the next quarter
- planned changes to project implementation.

We will consider the progress report against the agreements and the financial plan made on granting the award.

Occasionally, circumstances arise which cause researchers to deviate from the agreed research project. If, in our judgement, the changes are adaptations of the research which are still in line with the

general principles on which the grant was awarded, this presents no problem. However, in a small minority of cases, the department's judgement may be that the changes are unlikely to lead to a satisfactory outcome of the research.

In such cases, we reserve the right to end the contract in accordance with the agreed contractual arrangements. The general purpose is to support the research process as constructively as possible, bearing in mind the need to maintain financial discipline and value for money.

RESEARCH REPORTS

17 The Research Report is the main final report of the research funded by Education Department. It should provide to policy-makers, practitioners, and other researchers in the field a clear understanding of the research carried out and the main applications in policy and practice. It also provides the basis for DFID's judgement whether to offer further support for dissemination activities.

18 The Research Report is an essential part of the contract with DFID, irrespective of other published outputs.

19 The Research Report must be submitted on time, as stated in the proposal. If the report is likely to be late, permission must be sought in advance of the delay.

20 The main function of the Research Report is to highlight the relevance of the research to achieving DFID's priorities through the application of its outputs in policy and practice. It also provides a means for DFID to monitor and evaluate the quality of the research it commissions.

21 The main body of the report should be a concise (**3000 word maximum**) account of the applications of the main findings of the research to policy and practice related to the original objectives of the research. The text should also provide a brief description of the methodology of the research. It should follow a set structure under the following headings:

- Background and Objectives
- Methods
- Findings
- Dissemination

22 Appended to the report should be evidence that DFID can use to verify the methodological quality of the research. This may be in the form of:

- peer reviewed article(s) or drafts;
- drafts of proposed books and other publications; and/or
- a report covering the methodological detail of the research.

23 The report should be accompanied by a Highlights summary which encapsulates the main research findings and provides the basis for electronic dissemination through ID21.

24 The appended methodological work should be sufficient to allow DFID and/or external reviewers judge the quality of the research. It should provide the reader with a coherent argument supporting definite conclusions.

25 The report should also include the following disclaimer:

"The UK Department for International Development (DFID) supports policies, programmes and projects to promote international development. DFID provided funds for this study as part of that objective but the views and opinions expressed are those of the author(s) alone."

26 DFID may ask the author(s) to edit the main report in order to publish it as part of a DFID dissemination series. Such editing will enhance the quality of the argument or reduce the length. The report should be written in an accessible style.

27 Research Reports are assessed in the first instance by DFID advisers. Research Reports may also be assessed by peer reviewers from the academic or donor community. However, if the appended methodological work has been, or is in the process of being, peer reviewed DFID will not require further review. Assessments are important for us to obtain an indicator of research quality and the researchers with a critical review of their work.

28 The final 10% of the funds agreed under the contract is not paid until the Research Report has been approved as satisfactory by DFID and the Highlights summary received.

HOW ARE EDUCATION DEPARTMENT RESEARCH RESULTS DISSEMINATED?

DISSEMINATION IS IMPORTANT

29 The object of dissemination activities is to seek to ensure that the results of education department research are made available in such a way as to maximise the chance of influencing development policy and practice in accordance with DFID objectives. Poor people are intended to be the principal beneficiaries of funded research, but mainly through influencing policy makers and other actors in the development process.

ID21

30 DFID has also contracted the Institute of Development Studies, Sussex, to provide a centralised focus for communicating the results of UK-based development research. The service, known as ID21, is targeted primarily at policy makers and other non-academic audiences. It also produces Insights, a quarterly publication featuring digests of recent education research.

31 ID21 has established an online host providing summaries of latest research findings, and contact details of where to go to obtain further information. This features Highlights summaries from funded projects, as well as material from a variety of other UK sources, and is accessible via the World Wide web and e-mail.

32 ID21 can be contacted as follows:

- Tel: 01273 678787
E-mail: id21@ids.ac.uk
URL: <http://www.id21.org>

HIGHLIGHTS

33 Highlights summaries are designed to provide the results of DFID-funded research in an easily accessible and digestible manner for policy makers or those in a position to influence them. They also provide all the necessary information for those who wish to delve deeper.

34 Each research project should produce a 500 word Highlights summary with the final Research Report. Larger projects may produce more than one at intermediate stages or to reflect different components of the research. The principal outlet will be through the ID21 online service but researchers are free to use them through their own established distribution channels.

35 Guidelines for producing a Highlights summary and a sample thereof are found later in this pack.

DISSEMINATION FUNDS

36 Research proposals must include dissemination activities as a component of a research project. In addition researchers are expected to collaborate in providing information, reports, summaries and other documentation to the ID21 Programme.

37 Further dissemination funds may be sought towards the end of a project. There is no set procedure or format for applying for dissemination funds. We will consider proposals from researchers based on internal advice, or the external reviewers' assessments. It may recommend further dissemination activities including for DFID staff.

- 38 Proposals made to for dissemination should include the following information:
- key messages for dissemination to policy makers and practitioners
 - identification of the main policy-makers and practitioners who should be addressed
 - identification of the mechanisms to reach them
 - outline of dissemination activities undertaken as part of the project
 - plan of further activities and time required of researchers
 - detailed costs
 - reporting arrangements.

FURTHER INFORMATION

- 39 Applicants can obtain further information from:
- Room V 257
The Education Department
Department for International Development
94 Victoria Street
London SW1E 5JL
United Kingdom
Fax: +44 (0) 171 917 0287

ANNEX 1

EDUCATION RESEARCH APPLICATION FORM

TO BE COMPLETED FOR ALL APPLICATIONS

This application is made to the Secretary of State for International Development at the Department for International Development (“DFID”).

All applications must be completed in this standard format and within the space restrictions imposed.

Applications should be completed electronically and text should be entered in the boxes provided..

Any offer of contract which DFID may make to the applicant on the basis of this application will incorporate the DFID General Terms and Conditions for Research Contracts 2000 set out in Annex A which are not negotiable.

*Before completing this application please read the Education Department Research Strategy “**Researching the Issues- Information for Applicants**” booklet carefully.*

1. ESSENTIAL FACTS

Title of Research Project *(up to 120 characters)*

Short Title *(up to 60 characters)*

Summary of Project

Lead Researcher(s)

Applicant Institution

Start Date

End Date

--	--

Total Contract Value Proposed (£)

Breakdown of Total Contract Value by Financial Year

FY:2000/01	FY:2001/02	FY:2002/03	FY:2003/04

Which countries does the research cover?

Select up to 5 key categories to describe the research

Agricultural Education		Educational Development		Micro Credit	
Children		Enterprise Development		Participation	
Community		Financing of Education		Policy Orientation	
Conflict		Gender		Population	
Disability		Globalisation		Private Sector Development	
Dissemination		Health and Education		Skills Development	
Data Collection		HIV/AIDS		Strategic Orientation	
Education and Employment		Human Rights		Sustainable Development	
Educational Reform		Information		Young Men and Women	
		Communications			
		Technology			
EDUCATION AND TRAINING		Institutional Capacity		Other (specify	
		Building			

Details of Lead Researcher(s)

Name

Present Position Held

Office Address

Office Telephone no

Fax no

E-mail address

Applicant Institution

Name and address of Applicant Institution

Name of Head of Department or other person responsible for the research

Name and address of Finance Officer

Provide details of any overseas institutions associated or collaborating with the project and the nature of support.

Is this research currently being supported by any other body? If so by whom?

Is this application being submitted elsewhere? No Yes

If "Yes" please provide names and addresses of organisations together with an indication of when a decision is expected.

Is this proposal a continuation or extension of work already funded by DFID? No Yes If Yes please supply details below.

Reference No:

Title

What are the links between existing contracts and the current application?

2. RESEARCH INFORMATION

Purpose of the Research (*maximum 1500 words*)

1. What are the research objectives and questions to be addressed?
 2. How do these objectives relate to research already undertaken in this area (including brief literature reviews)?
 3. What is the context within which this research will be conducted?
 4. What are the key research hypotheses?
 5. What practical value will the research findings have?
 6. What are the target groups for the research findings?
-

Method (*maximum 1000 words*)

1. How do you propose to carry out the research?
 2. Explain the conceptual framework and methodology to be used.
 3. Which methods or tools will be used to collect data? If field surveys are to be undertaken, indicate briefly the design, scope and coverage and, where appropriate, append a draft questionnaire.
 4. How will you analyse the data including, where appropriate, the use of statistical and econometric techniques?
-

Programme of Activities (*maximum 1000 words*)

1. Provide a work plan and a bar chart of main activities. This must be a realistic timetable as slippage between financial years is not allowed.
 2. Indicate the main milestones in the project. The end date of the project must allow time for completion of all funded outputs.
 3. Specify who is responsible for which activity, with the number of weeks or months involved with dates where possible. This should include personnel in collaborating institutions.
 4. Specify the nature of the collaboration envisaged, including capacity building.
 5. Specify quality control mechanisms.
 6. Evaluate the factors that might adversely affect the completion of activities as scheduled.
-

Dissemination (*maximum 500 words*)

1. Specify the nature and timing of the planned outputs of the project including publications, final reports, workshops and other forms of dissemination.
 2. State precisely how it is intended to disseminate the results of this research and how relevant target groups will be reached.
 3. Indicate the ways in which the outputs will be used to achieve project objectives.
 4. Evaluate the risks which might prevent the findings of the research from influencing policy and practice.
-

Budget

1. Complete the Financial Planning Sheet at the end of the application (Annex B).
 2. On the basis of information given in Annex B:
 - A. Justify choice of research staff (referring to CVs)
 - B. Justify the capital equipment proposed
 - C. Demonstrate that the budget is appropriate and cost-effective
 - D. Explain any unusual items of equipment in the budget
-

3. PROJECT FRAMEWORK

Although the Project Framework is obligatory for projects of over £100,000, the issues addressed in it must be covered in any proposal. It is recommended that all proposals contain a completed Framework.

Narrative Summary (NS)	Verifiable Indicators (OVI)	Means of Verification (MOV)	Assumptions/Risks
<p>Goal:</p> <p>(Relate to DFID goals)</p>			
<p>Purpose:</p> <p>(Knowledge gained from research applied in development policy and practice; appropriate capacity built)</p>	<p>(Potential users aware of new knowledge and act on it in some way; acquired capacity is used)</p>	<p>(Researcher evaluation of reaching target users; DFID periodic evaluation of influence on policy and practice)</p>	<p>(Assumptions necessary for application of new knowledge to contribute to programme goal and DFID objectives)</p>
<p>Outputs:</p> <p>(Specify the nature and timing of planned outputs of the programme)</p>	<p>(Reports published, workshops held etc.)</p>	<p>(Contents of progress and final reports; DFID review of reports; DFID periodic evaluation of quality and impact)</p>	<p>(Assumptions necessary for new knowledge generated by project to be absorbed by development partners and acted on. What factors might prevent new knowledge being applied?)</p>
<p>Activities:</p> <p>(List project activities and timing as in work plan)</p>	<p>Inputs:</p> <p>(List researchers, equipment, other costs, overall budget)</p>	<p>(Progress reports and disbursement records)</p>	<p>(Assumptions necessary for activities to translate into outputs. What factors might prevent attainment of outputs?)</p>

4. SUPPORTING DOCUMENTATION

The following documentation should be submitted with this Application Form:

1. Annex B (Financial Planning Sheet) duly completed.
2. One page CVs for each member of research staff

DECLARATION

We confirm that we have read this application and accept and agree that any offer of contract which DFID may make to us on the basis of this application will incorporate the terms and conditions set out in Annex A.

Head of Department for and on behalf
of the Applicant Institution

Annex 2

DFID/Education Department General Terms and Conditions for Research Contracts [2000]

ANY RESEARCH CONTRACT CONCLUDED SHALL BE SUBJECT TO THE FOLLOWING CONDITIONS

1. Instructions and Approvals

1.1 In the event that the application detailed in Ed/1 is favourably considered, DFID shall send to the applicant an offer of contract in writing which shall include the maximum amount of research funding available ("The Financial Limit"). The written acceptance by the applicant of such offer of contract shall establish a contract (hereinafter referred to as "the Contract") between the Secretary of State for International Development at the Department for International Development ("DFID") and the applicant. Thereafter, the applicant (hereinafter referred to as "the Contractor") shall submit invoices in strict accordance with the "Invoicing Instructions" below.

1.2 DFID shall appoint a Project/Programme Officer who shall be responsible for issuing instructions and dealing with all correspondence in connection with the technical aspects of the Contract. A Contracts Officer will also be responsible for contractual aspects of the Contract.

1.3 No variation in the terms or scope of the Contract shall be valid or binding unless previously expressly approved by DFID and the Contractor in the form of a letter entitled "Amendment to Contract". DFID takes no responsibility to pay for work outside the agreed programme of work as set out in ED/1.

2. Indemnity

2.1 The Contractor shall exercise reasonable skill, care and diligence in the performance of the Contract and in accordance with appropriate professional standards and indemnify and keep indemnified the British Government in respect of any loss, damage or claim howsoever arising out of or related to negligence by the Contractor or the Contractor's servants, agents or sub-contractors in relation to the performance or otherwise of the Services to be provided under the Contract.

3. Personnel

3.1 DFID shall not be responsible for the employment of any person employed or otherwise engaged by the Contractor, or employed or otherwise engaged by a third party for, or through, the Contractor whether as an employee or a consultant. In particular DFID shall not be responsible for the costs of employing any such person, including any costs incurred by the Contractor in terminating the person's employment or engagement.

3.2 DFID shall not be entitled to instruct or direct the Contractor on matters relating to the employment of any person referred to in Clause 3.1 above, and in particular on the selection of such persons and their conditions of employment. The Contractor shall not be bound to act in accordance with any view or opinion expressed by DFID on such matters, which shall be the sole responsibility of the Contractor, and DFID shall not be liable for any loss or claim howsoever arising as a result of the Contractor acting on the basis of any such view or opinion.

3.3 DFID shall not be responsible for the acts or omissions of persons engaged by the Contractor whether or not in the course of performing the Services or for the health, safety and security of such persons and their property. The Contractor agrees to indemnify DFID in respect of any loss to DFID arising out of or in connection with any claim made against DFID either by any person employed or engaged by the Contractor or by any third party as a result of the Contract.

3.4 For the avoidance of doubt, nothing in Clauses 3.1 to 3.3 shall either:-

- (i) alter the Contractor's obligation to exercise reasonable skill, care and diligence in the performance of the Contract which obligation shall include the provision of suitably qualified and experienced personnel to carry out the Services; or
- (ii) limit DFID's right to require that the Contractor carries out the Services in

accordance with the terms of the Contract.

3.5 The Contractor shall not be entitled to substitute personnel (in particular lead/key Researchers named in Ed/1) unless DFID gives written consent to such substitution. DFID's consent to any such substitution shall not be unreasonably withheld but be conditional upon the provision of a suitable replacement.

3.6 DFID shall not be liable to meet any costs arising from the replacement by the Contractor of contract personnel.

4. Financial

4.1 Fee rates quoted for each productive day are deemed to cover the cost of salary, overseas enhancements, leave allowances, bonuses, profit, taxes, insurances, superannuation, non-working days and all other costs including, but not limited to, clothing, passports, visas and vaccinations, overheads and expenses of whatsoever nature that may be incurred except those otherwise specifically provided for in the Contract.

4.2 Any appropriate overheads should be expressed as a percentage applied to UK staff costs including National Insurance and superannuation.

4.3 The Contractor's inputs to the project (as set out in Ed/1 and hereinafter referred to as "the Services" and "the Project" respectively) will be performed with diligence, skill and care and in accordance with recognised professional standards of research. Subject to performance of the Services to DFID's satisfaction, DFID shall make payment to the Contractor within 30 days of receipt by DFID of the relevant invoice.

4.4 Unless agreed in advance and recorded in writing DFID shall not be responsible for any cost or expense of any kind, incurred for any reason, in excess of the agreed Financial Limit. The Contractor will be expected to absorb increases in costs caused by inflation.

5. Independent Contractor

5.1 In the performance of the Contract, the Contractor shall be an independent Contractor and not an agent of DFID. The Contractor shall have no authority to enter into contracts, commitments or incur any expenditure (save as otherwise provided by these Conditions) on behalf of DFID.

6. Sub-Contractors

6.1 The Contractor shall not sub-contract any part of the Services without the agreement of DFID. Any sub-contract must bind the sub-contractor to observe the conditions of this Contract, so far as they are applicable to and capable of performance by the sub-contractor.

6.2 The Contractor shall be responsible for the actions and any defaults of sub-contractors.

7. Payment to Sub-contractors

7.1 In the event that the Contractor lets a Sub-contract with a supplier or contractor, such Sub-contract shall include the requirement that payment is made to the sub-contractor within a period not exceeding 30 days from receipt.

8. Participation by DFID/Contractor

8.1 The Contractor shall, if so invited by DFID, serve on any committee set up by DFID to consider the conduct and progress of the Services. If so required by DFID, the Contractor shall attend DFID meetings to report upon the progress and conduct of the Services.

8.2 DFID may appoint a representative to act as a member of any committee or working group set up by the Contractor to advise or steer the progress of the Services.

9. Assignment to Others

9.1 The Contractor shall not, without the prior written consent of DFID, assign or transfer or cause to be assigned or transferred, whether actually or as the result of take-over, merger or other change of identity or character of the Contractor, any of its rights or obligations under the Contract or any part, share or interest therein. Upon any such assignment or transfer, this Contract may forthwith be terminated by DFID.

10. Research Reports

10.1 The Contractor shall submit to DFID **financial and technical** progress reports in respect of the project. Unless DFID otherwise directs the financial progress reports shall be submitted quarterly, within two weeks of the end of the quarter under report. A technical report must be submitted annually by the end of January, that report to include a one-page executive summary. Failure to submit progress reports on time may, at the discretion of DFID, result in the withholding of funds or the termination of the Project and this Contract. Quarters shall run in accordance with the standard Financial Year quarters (January - March; April - June; July - September; October - December).

10.2 DFID may request, and the Contractor shall provide, reports at any time while the project is in progress. Failure to comply with the request by the date specified by DFID may result in the withholding of funds or the termination of the Project and this Contract.

10.3 The Contractor shall submit to DFID a final report and a "Highlights" summary to be received by DFID within 28 days of the agreed Project completion date. Except for exceptional circumstances, the final payment or 10% of the total Financial Limit, whichever is the greater, will be retained until the final report is approved by DFID.

10.4 The progress reports, final technical reports and "Highlights" shall be made in the formats specified in the "Information to Applicants" booklet.

10.5 Necessary time for final report writing must be included in the time scale of the Project. Any costs of publishing and dissemination of such reports, including essential translation for which DFID funding may be requested, shall be included in the application.

11. Invoicing Instructions

11.1 Invoices for work undertaken by the Contractor in respect of the Services must be presented in duplicate.

11.2 All invoices must contain details of the bank account to which payments are to be made, since DFID payments are made by direct credit through the Bank Clearing Systems (BACS).

11.3 Invoices shall bear the Contract reference and Project number, be numbered sequentially and dated, and submitted "For the Attention of the Education Department Research Secretary".

11.4 All invoices shall contain details of expenditure actually incurred by the Contractor in the previous accounting period. Expenditure should be submitted in the same format as in the Financial Planning Sheet. Claims in respect of fees for personnel shall specify the name, grade or designation, fee rate and dates of periods worked for each fee. For reimbursable expenses DFID reserves the right to request proof of payment in respect of any item and may refuse to meet a claim if this cannot be provided.

11.5 All invoices must be accompanied by a statement summarising the payments received from DFID together with the sequential number and date of any outstanding invoices and credit notes.

11.6 All invoices shall include a certificate saying: "**We certify that the amounts claimed in this invoice have been wholly and necessarily incurred for the purpose of the engagement and have not been claimed before**", signed by the Partner or Director in charge of the Contractors' team or by the Project/Programme Leader.

11.7 Any invoice not presented in accordance with the above will be liable to query and delay in payment.

12. Payments

12.1 Invoices should be submitted quarterly in arrears in accordance with the specific instructions set out in Clause 11 of this document.

12.2 Subject to DFID being satisfied that the Contract is being, or has been, carried out to its satisfaction, sums duly approved shall be paid within 30 days of receipt of a valid invoice.

12.3 Payment shall be made in sterling in the UK. Reimbursable expenditure arising in foreign currency shall be reimbursed at the exchange rate stated in the most recent London Financial Times "Guide to World Currencies" preceding the date on which the payments were made.

12.4 If for any reason DFID is dissatisfied with the performance of the Contract, an appropriate sum may be withheld from any payment otherwise due. In such event DFID shall identify the particular services with which it is dissatisfied together with the reasons for such dissatisfaction, and payment of the amount outstanding will be made upon remedy of any unsatisfactory work or resolution of outstanding queries.

12.5 Should DFID determine within one year of payment for a particular service that the service has not been completed satisfactorily DFID may, without prejudice to any other remedies, recover or withhold from further payments an amount not exceeding that previously charged for that service, until such time as the unsatisfactory service is remedied to DFID's satisfaction.

13. Rights of Access and Audit

13.1 DFID reserves the right at any time to visit the Contractor or any of its sub-contractors, giving reasonable notice of its intention, and the Contractor shall give DFID and DFID's representatives full access to the relevant personnel, offices, documents, papers and computers and computer software relating to the Services and the Contractor shall ensure that the sub-contractors appointed by the Contractor to conduct work on DFID's behalf do so on such terms as to allow the same access to DFID and DFID's representatives.

13.2 DFID shall have the right to audit the relevant books and accounts of the Contractor at the Contractor's Premises in relation to reimbursable items paid for by DFID under the Contract at any time until the expiry of twenty-four (24) months following the settlement of the final account. Any incorrect payments made by DFID shall be adjusted in accordance with the findings of the said audit. The Contractor shall make all relevant books and accounts available and give the auditors all reasonable assistance and ensure that its sub-contractors comply with such provisions.

13.3 The National Audit Office shall have the right to audit the relevant books and accounts of the Contractor (and any sub-contractor) and to carry out examinations into the economy, efficiency and effectiveness with which the Contractor has used its resources in discharging its functions under the Contract.

14. Publication of Results

14.1 The Contractor shall not, without the prior written consent of DFID, publish any information related to the Services or the results of the Services which might prejudice the Intellectual Property Rights referred to in clause 21 or the licence granted by the Contractor to DFID under clause 21.3.

14.2 Any publication shall contain an express acknowledgement of the Contractor's copyright and the following statement:-

"The UK Department for International Development (DFID) supports policies, programmes and projects to promote international development. DFID provided funds for this study as part of that objective but the views and opinions expressed are those of the author(s) alone".

14.3 The Contractor shall within ten days of the date of publication supply DFID with as many copies of any publication as DFID may reasonably request.

15. Confidential Information

15.1 The Contractor undertakes that it will not at any time divulge to third parties any confidential information in relation to this Contract or the Services or DFID's affairs or business or method of carrying on business. The Contractor shall take all necessary actions to ensure that all such information is treated as confidential by its employees agents or sub-contractors.

16. Intellectual Property Rights

16.1 In this clause the following words and expressions shall have the meanings set opposite them:

"Datasets shall mean"

Any collection of data generated in relation to the Contract which may be of particular interest to the international development community. Datasets of potential interest to this community and therefore DFID, cover a wide range from the computer-readable datasets of major surveys to small scale data collected as part of an individual project. They include datasets used for research and analysis, the numeric machine-readable results of surveys, censuses and administrative activity, bibliographic data (but not notes from reading published texts), textual material from the transcription of historical sources or collected through qualitative research (such as diaries and fieldwork notes), and other quantitative and qualitative data including audio visual recordings of interviews and events, photographs and artefacts;

"the Intellectual Property Rights" shall mean:

Copyright, design rights, topography rights, trade marks and service marks (whether registered or not), plant breeders rights, patents, registered designs, and applications therefor and any similar proprietary rights (in any part of the world);

"the Technical Information" shall mean:

Any invention, designs, and other information including (but not limited to) maps, plans, photographs, drawings, tapes, statistical and technical data, published and unpublished results and reports, computer programmes, know-how, processes, specifications, data books and databases, tables, memoranda, Datasets and all other documentation and information arising as a result of the provision of the Services under this Contract whether by way of sub-contract or otherwise including the results of any work performed by an employee or other person engaged to perform the Services;

"Improvements" shall mean:

all improvements, modifications or adaptations to any part of the Technical Information which might reasonably be of developmental or commercial interest to either party and which may be made or acquired by either party.

16.2 The Intellectual Property Rights in the Technical Information and the Improvements shall vest in and be the property of the Contractor, who shall take all measures necessary to ensure that it is the sole owner of such Intellectual Property Rights. To the extent that the Contractor uses any employee, consultant, or sub-contractor (or deals with any other third party) it shall take all necessary steps to ensure that all Intellectual Property Rights in any part of the Technical Information or the Improvements created by that person vest in the Contractor.

16.3 With effect from the date of this Contract the Contractor hereby grants to DFID (and the Crown) a non-exclusive irrevocable royalty free world-wide licence without limit of time to use, transfer or otherwise deal with the Intellectual Property Rights in the Technical Information and the Improvements and to manufacture, produce and sell any product incorporating part or all of the Technical Information or

the Improvements for use by DFID or other third parties and for sale or other dealing anywhere in the world.

16.4 DFID shall be entitled to sub-licence the Intellectual Property Rights granted to DFID pursuant to sub-clause 16.3, to any person or entity and on any terms which DFID thinks fit. The Contractor acknowledges (both for itself and as agent for any of its successors or assigns) that the exercise by DFID of any of the rights granted to DFID under clause 16.3 and 16.4 shall not be restricted or subject to any terms and conditions whether express or implied or otherwise.

16.5 The Contractor further agrees to execute any document and take any action necessary or appropriate in any jurisdiction to give full force and effect to the provision of and the rights granted under this clause 16 including, without limitation, any formal licence agreement presented by DFID to the Contractor for the purposes of registering the licence of any Intellectual Property Rights granted in sub-clause 16.3 above.

16.6 The Contractor undertakes not to enter into any agreement, understanding, or arrangement with a third party which will or could affect the use of, ownership or validity of all or any of the Intellectual Property Rights in the Technical Information or the Improvements or the licensing pursuant to sub-clause 16.3 except with the prior written consent of DFID. DFID may make its consent conditional upon any terms and conditions which DFID thinks fit.

16.7 The Contractor undertakes to disclose to DFID all Technical Information and Improvements and all Intellectual Property Rights therein as soon as reasonably practicable after becoming aware of the same.

16.8 The Contractor shall indemnify and keep indemnified DFID against all losses, costs, claims, damages or expenses of whatever nature suffered or incurred by DFID as a result of any claim that the use or exercise of its rights under this clause 16 either on its own account or by any sub- licensee of DFID infringes the intellectual property or other proprietary rights of any person. The Contractor shall provide all assistance and documentation required by DFID in relation to the defence of any such claim.

16.9 Notwithstanding sub-clause 16.3 above, DFID shall have the right to determine whether the results of work conducted under this Agreement shall be protected by patent or other registered protection for the Intellectual Property Rights in the Technical Information and the Improvements.

16.9.1 In the event that DFID wishes the Contractor to file an application for such protection, the Contractor shall provide all necessary information to DFID to enable DFID to make a judgement regarding the suitability or otherwise of proceeding with that application. The Contractor will, if requested by DFID, diligently prosecute to grant all such applications in such territory as DFID may require so as to secure the broadest protection reasonably obtainable. The Contractor shall maintain all registered Intellectual Property Rights in the Technical Information and Improvements in force for the full terms available for protection thereof. DFID shall reimburse the Contractor in respect of all reasonable costs properly incurred by the Contractor in obtaining such registration.

16.9.2 In the event that the Contractor wishes to file an application for such protection, the Contractor shall in advance inform DFID in writing of this and shall bear the costs of the application.

16.10 Contractors are required to:

- a) keep copies of datasets resulting from any research, for access and use by other bona fide researchers and DFID;
- b) notify the funding department within 3 months of the project's completion (or at other intervals by arrangement with the funding department) as to the existence of a Dataset and how the public can access it;
- c) hold Datasets in a form accessible to the public, where possible this should be in electronic format and accessible through the Internet to the Contractor's website listing all holders of the basic data and information;
- d) facilitate access by the public to DFID research Datasets and information;
- e) exchange or provide data for research purposes as notified by DFID and/or where it is clear that the research will lead to a contribution to knowledge within DFID's remit, or to benefits in kind;

16.10.1 Access to and use of Datasets under this clause shall be provided by the Contractor free of charge. Any photocopying or postal costs may be charges by the Contractors "at cost" and be paid for by the requesting persons (other than DFID).

17. Procurement of Equipment

17.1 Procurement of equipment (including materials) on a reimbursable basis required for the satisfactory performance of the Contract shall be undertaken by the Contractor, taking particular note of the need to achieve value for money and maximum UK content. Any such equipment shall be purchased on the basis that ownership vests and remains vested in the Contractor.

17.2 Notwithstanding Clause 17.1 above, DFID and the Contractor may agree in writing that certain listed items of equipment shall be purchased on the basis that ownership vests and remains vested in the Secretary of State for International Development. With respect to those listed items of equipment, any purchase order placed by the Contractor shall contain a statement to the effect that the Contractor is purchasing the equipment on behalf of DFID and the owner is the Secretary of State for International Development. The Contractor shall seek advice from the Procurement Department of DFID in respect of such listed items of equipment and, where the total value of the equipment exceeds £50,000, DFID may require the appointment of a registered procurement agent.

17.3 In respect of all equipment purchased (whether under Clause 17.1 or 17.2 above) the Contractor shall maintain an Asset Register of all such purchases including, but not limited to, the purchases made by sub- contractors, and shall provide DFID with an updated copy on request. The Asset Register shall include the following information in respect of each item of equipment:-

- description
- specific identification (e.g. serial number)
- date of purchase
- original value (including VAT if paid)
- location and/or user
- name of person responsible for it

17.4 The Contractor shall ensure that the sub-contractors in their turn abide by the foregoing should they be required to place purchase orders for equipment.

18. Responsibility for Equipment owned by the Secretary of State for International Development

18.1 The Contractor shall use all reasonable endeavours to ensure that all equipment owned by the Secretary of State for International Development is used in a proper and workmanlike manner and at the conclusion of the Contract shall apply for instructions from DFID for the equipment disposal and shall arrange to dispose of the equipment in accordance with such instructions and to account to DFID for any proceeds of sale thereof. At such time the equipment shall be in good condition after making due allowance for fair wear and tear. If any equipment or part thereof is not in good condition, or has been lost, then proper compensation shall be due to DFID. The amount of such compensation shall be agreed between the Contractor and DFID and shall be deducted from the sums otherwise due to the Contractor, or if such sums are not sufficient to make proper compensation, then the Contractor shall make prompt payment to DFID of the proper compensation or such part thereof that the sums otherwise due to the Contractor cannot meet.

18.2 From the time of purchase to the time of disposal the Contractor shall be liable in respect of loss or damage and all claims or demands in respect of any or all of such equipment or any part thereof, including but not limited to claims by third parties suffering injury or death as a result of the use or misuse thereof, and the Contractor shall indemnify and keep indemnified DFID in respect of any such liability so incurred.

19. Conflict of Interest

19.1 The Contractor shall immediately inform DFID if it proposes to undertake the purchase of equipment or place a sub-contract for Services with any individual who is connected with the Contractor or any organisation which is an associate, affiliate, parent or subsidiary company of the Contractor. DFID shall have the right to refuse permission for the award in such circumstances.

20. Termination

20.1 Subject to DFID's rights under 20.2 below, if in the opinion of DFID it appears desirable that this Contract should be terminated for any reason DFID may at any time inform the Contractor of its decision by written instruction to that effect. In the event of the Contract being so terminated, the Contractor shall take such steps as are necessary to bring the Services to an end, (including terminating any sub-contracts placed by the Contractor) in a cost effective, timely and orderly manner. The Contractor shall submit an account in writing which shall state the amount claimed taking into account all fees and costs properly incurred or committed by the Contractor in relation to the Contract or its termination which cannot be recovered. Always provided that payments are within the agreed Financial Limit and not subject to dispute, DFID shall:

20.1.1. pay all fees, expenses and other sums due and outstanding under the terms of this Contract up to and including the date of termination ("the Relevant Date");

20.1.2. reimburse all reasonable expenses necessarily incurred by the Contractor after the Relevant Date in winding up the Contract. DFID may, on request, reclaim all capital equipment purchased for the Project with funds provided under this Contract.

20.2 This Contract may be terminated forthwith by DFID by notice in writing to the Contractor if at any time:

20.2.1. the Contractor either directly or through its servants or agents or sub-contractors commits any breach of its obligations under the Contract; or

20.2.2. DFID is dissatisfied with the conduct of the Project or the administration of the Contract; or

20.2.3. the Contractor, being an individual or, where the Contractor is a firm, any partner in that firm shall at any time become bankrupt, or shall have a receiving order or administration order made against them or shall make any composition or arrangement with or for the benefit of their creditors or shall make any conveyance or assignment for the benefit of their creditors; or

20.2.4. the Contractor being a company, an order is made for a resolution to be passed for the winding up of the Contractor otherwise than a members' voluntary winding up for the purpose of amalgamation or reconstruction (subject to the prior approval of DFID) or a receiver or administrator is appointed of the whole or any part of the undertaking of the Contractor.

20.3 In the event of any termination under this clause 20.2, payments due to the Contractor shall be made for fees and expenses properly incurred up to the date of termination, less any outstanding balance of any advance made. No other payments shall be made and the applicant will return unspent funds in their possession immediately upon DFID's first demand and provide evidence to DFID's satisfaction that all such unspent monies have been returned. For the avoidance of doubt the obligation of the Contractor to return all unspent monies does not extinguish any further liability and DFID on behalf of the Secretary of State for International Development or the Crown reserves the right to bring claims in respect of any loss of rights or other loss or damage suffered by the Secretary of State for International Development or the Crown as a consequence of any breach or non-compliance by the Contractor within the terms of the Contract.

21. Force Majeure

21.1 If the performance of the Contract by either party is delayed, hindered or prevented or is otherwise frustrated by reason of force majeure, which shall mean war, civil commotion, fire, flood, action by any government or any event beyond the reasonable control of the party affected, then the party so affected shall promptly notify the other party in writing specifying the nature of the force majeure and of the anticipated delay in the performance of the Contract and as from the date of that notification DFID may at its discretion either terminate the Contract forthwith or suspend the performance of the Contract for a period not exceeding 6 months. If at the expiry of such period of suspension any of the reasons for the suspension still remain, DFID and the Contractor may either agree a further period of suspension or treat the Contract as terminated. In the event of the Contract being terminated by reason of force majeure, the Contractor shall take such steps as are necessary to bring the Services to an end, (including terminating any sub-contracts placed by the Contractor) in a cost effective, timely and orderly manner. The Contractor shall submit an account in writing which shall state the amount claimed taking into account all fees and costs properly incurred or committed by the Contractor in relation to the Contract or its termination which cannot be recovered. Always provided that payments are within the agreed Financial Limit and not subject to dispute, DFID shall:

a. pay all fees, expenses and other sums due and outstanding under the terms of this Contract up to and including the date of termination ("the Relevant Date");

b. reimburse all reasonable expenses necessarily incurred by the Contractor after the Relevant Date in winding up the Contract

c. reclaim all capital equipment purchased for the project with funds provided under this Contract.

22. Governing Law and Settlements of Disputes

22.1 This Contract shall be governed by and construed in accordance with English Law.

22.2 Should the Contractor and DFID be unable to reach agreement on the meaning or interpretation of any terms set out hereto or any other matters arising out of the Contract, the matter in dispute shall be referred to an arbitrator to be agreed between the parties, or failing such agreement to be nominated by the President of the Law Society of England and Wales on application of either party, and the decision of the arbitrator shall be final and binding on both parties.

22.3 Arbitrator proceedings shall take place in London unless otherwise agreed by DFID.

23. Compliance with Laws and Regulations

23.1 The Contractor shall at all times comply with the laws, rules and regulations of government and other bodies having jurisdiction over the country in which the Services are undertaken and which are from time to time in force during the period of performance by the Contractor of its obligation under the Contract. The Contractor shall not engage in activities which could be regarded as objectionable to such authorities.

ANNEX 3

Financial Planning Sheet

(financial year April-March)

Name of Researcher:

Title of Project:

Duration of Project:

Research Staff	No. of days or months	1st Year		No. of days or months	2nd Year		No. of days or months
		Daily Rate or Monthly Salary	Total		Daily Rate or Monthly Salary	Total	
Overhead if not included in daily rate @ (x)% of research staff salaries							
		Total		Total			
Other Staff							
		Total		Total			
Travel & Subsistence							
International							
UK							
		Total		Total			
Equipment							
		Total		Total			
Other Costs							
		Total		Total			
		1st Year		2nd Year			

ANNEX 4
SAMPLE QUARTERLY REPORT FORM

Education QUARTERLY REPORT

R NUMBER: QUARTER _____ YEAR _____

SHORT TITLE;

RESEARCHER:

ORGANISATION:

PROJECT START DATE: END DATE:

EXPENDITURE INVOICED TO DFID BY QUARTER: (£)
APRIL-JUN JULY-SEPT OCT-DEC JAN-MAR

ESTIMATE:

ACTUAL:

FORECAST EXPENDITURE IN THE NEXT FINANCIAL YEARS: (£)
2000/01 2001/02 2002/03 2003/04

MAIN ACTIVITIES DURING QUARTER:

DISSEMINATION OUTPUTS DURING QUARTER:

DISCUSSIONS OF FINDINGS WITH POLICY-MAKERS AND PRACTITIONERS:

PLANNED ACTIVITIES FOR NEXT QUARTER:

PLANNED MODIFICATIONS TO PROJECT IMPLEMENTATION:

OTHER COMMENTS;

NAME: DATE:

Annex 5

HIGHLIGHTS SUMMARIES

- A. Highlights summaries should be around **500 words** in length, composed of five standard elements. Minor variations of 50 words or so are no problem but the text should be kept in a consistent order. The 500 word guideline applies to the body of the text: the title, addresses and other annexes count as extras.
- B. The standard elements are as follows:
- An arresting and informative one-line **title** of up to 12 words, preferably fewer
 - An introductory paragraph (bold type) summarising the **key idea and gist** of the research (up to 100 words)
 - Context, methods and past research **if essential to understanding findings** (up to 150 words)
 - Highlights of important and unusual **research findings** usually bulleted (up to 150 words)
 - Bulleted list of **policy-relevant lessons** or implications of the findings (up to 150 words).
- C. Copy should be provided by e-mail or on floppy disk, in a standard PC word processor file format (preferably Word for Windows).
- D. Copy rules are as follows:
- Spelling: use UK spellings. For example, use organ-ise rather than organ-ize
 - Spell out whole numbers up to nine: use figures for 10 and up, spell out fractions
 - Percentages should be spelt out (one word) i.e. 40 percent not 40% or 40 per cent
 - Use SI units or where non-SI units are unavoidable, add SI equivalents in brackets
 - Abbreviate units and close up to numerals (e.g. 39.67m, 14ha) without space or stop
 - Leave one space breaks between sentences. No need to double-space text lines.
- E. Please **avoid** using:
- Unexplained or unnecessary jargon or any expression likely to mislead a second-language English reader
 - Wordy sentences (longer than 25 words) or paragraphs longer than five sentences
 - Graphs, formatted tables, charts or other visuals to avoid electronic transmission problems
 - Bibliographic citations, superscripts, subscripts, footnotes and other bolt-on elements.
- F. Please **do include** (as annexes which may or may not appear on the screen page):
- One reliable contact address and the name of the principal research originator(s)

- Up to three accessible sources (published or forthcoming) of recent background documentation
- A string of key words (topic realms, country names &c) in one text line only
- The funding source(s) and the time frame of the research study
- Your name and the date when your finished summary was submitted.

SAMPLE EXECUTIVE SUMMARY

Girls, schools and limits to change

The mosaic of factors that can affect how and whether girls participate in education is remarkably similar in many developing countries. Researchers based at the University of Hull and Oxford University sized up these factors by comparing results of surveys in India (Gujarat and Orissa States), Bangladesh, Sierra Leone, Cameroon, Vanuatu, Jamaica and Seychelles. A theory of 'cultural capacity' emerged from these comparisons, hinging on the extent to which different cultures are ready to adapt to progressive change.

A Primary Perceptions survey of Primary 6 pupils by questionnaire helped flag **issues most liable to affect school enrolment and wastage figures** in all seven countries. Issues stood out that can influence both male and female participation in education yet affect girls more than boys.

- Not surprisingly, pupils from bigger and poorer families were more likely to feel that going to school was costly and to express negative views about the need for girls to go to school.
- They were also more prone to expect to leave school at the end of the year and to parent big families of their own in the future.
- Rural families were more likely to suffer the disadvantages that prompt such attitudes, on top of which disapproval (especially among boys) of girls going to school proved more rife in rural areas.

Attempts to boost participation by girls in education should take heed above all of socio-economic pitfalls. Though relatively simple steps can be taken to mitigate (say) financial drawbacks like high costs of school fees, books and clothing, it is not enough to make schooling for girls more accessible or affordable.

- Parents have to feel not merely able but willing to send daughters to school. They will not become willing unless or until the 'cultural capacity' of their society renders it open to changes in traditional gender relationships. In two cases (Jamaica and the Seychelles) where a pattern is found of girls not only participating in education to the full at primary level but also out-performing boys, it was noteworthy that 'mother-focused' households where mothers rule the roost are a long-established tradition.

These results raise a host of **policy implications**, among them the need to support non-formal education projects led by nongovernmental organisations (NGOs) that discriminate positively in favour of girl participants. NGOs should also be encouraged to come up with schemes for donor funding that promise to

raise numbers of girls progressing from primary to secondary schooling. Schemes aimed at enhancing female participation in schooling should be tied in wherever possible with concerted health, environment and economic development plans, especially in rural areas. In addition, assistance should be given to adjust the school day and year to realities of rural life and of home and farm labour demands. Policymakers should also move towards:

- raising male awareness of communal and family benefits arising from female schooling
- eliminating gender bias from textbooks and other standard teaching and learning materials
- subsidising provision to girls of books, other learning materials and uniforms or clothing
- building more single-sex schools for girls, with residential capacity for pupils and teachers
- providing safe conditions and accommodation for female teachers, especially in rural areas.

Contributor(s): Nadine Cammish, Colin Brock

Source(s):

Factors affecting female participation in education in seven developing countries DFID Education Serial No. 9, by Brock, C. and Cammish, N.K. (1997) .

Funded by: Department for International Development, Education Division UK

Date submitted: 03 April 1999

Study undertaken: May 1998 to June 1999

Key Words:

India+Bangladesh+Sierra Leone+Cameroon+Vanuatu+Jamaica+Seychelles+Primary+ Girls +Boys+rural+poor+participation+cultural capacity+schooling+NGO

Further information:

Nadine Cammish
Institute of Education
University of Hull Cottingham Road
Hull HU6 7RX
UK

Colin Brock,
Department of Educational Studies
University of Oxford
15 Norham Gardens
Oxford OX2 6PY
UK

Tel: +44 (0)1482 465226

Fax: +44 (0)1482 466133

Tel: +44 (0)1865 274048

Fax: F: +44(0)1865 274027