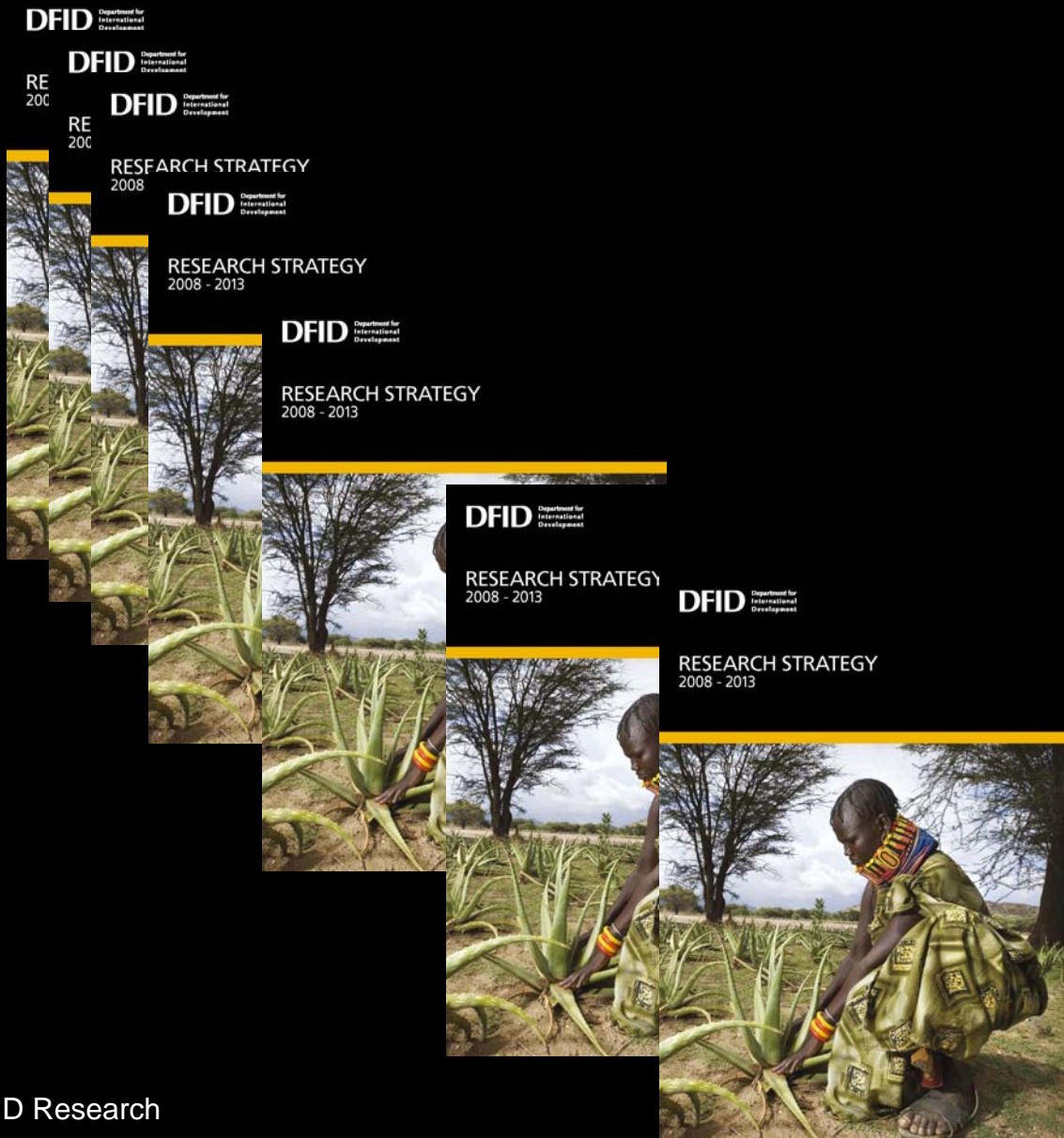


Research Programme Consortia

TERMS OF REFERENCE



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Research Programme Consortia Terms of Reference

Purpose

1. The Department for International Development (DFID) will spend up to £1 billion on research over the next five years. DFID's Research Strategy (2008-2013)¹ sets out priorities for long-term research. Part of the spend will be through bilateral funding arrangements including the commissioning of Research Programme Consortia (RPCs). DFID will develop and support research that will contribute to a global pool of new knowledge and technologies for development that will:
 - Strike a balance between creating new knowledge and technology and getting knowledge and technology – both new and existing – into use;
 - Make the most of our ability to influence policy to make sure research makes an impact;
 - Use different methods of funding to join up national, regional and global research efforts, so that they are more relevant to what matters most to developing countries; and to achieve a bigger impact on poverty reduction;
 - Redouble our effort to strengthen developing countries' capability to do and use research; and
 - Help our partners predict and respond to development challenges and opportunities beyond the 2015 target date for achieving Millennium Development Goals (MDGs).
2. The prime purpose of DFID is to contribute to the eradication of world poverty. DFID's research aims to contribute to this objective through producing new knowledge and getting research into use. We highlight DFID funded research (including that of the RPCs) regularly and systematically through our research portal: www.research4development.info
3. The aim of RPCs is to generate new policy-relevant knowledge that will help developing countries, the wider development community, and DFID to eradicate world poverty, including meeting the MDGs by 2015. In addition, DFID is also interested in research that identifies and engages in issues that will be important in the future, beyond 2015.
4. The most important aspect of research we will commission through RPCs is that it will lead to an excellent output of research of the highest international quality which answers questions useful to policymakers and practitioners to help reduce poverty or the impact of poverty. These are therefore the most important criteria for assessing RPC proposals.
5. Following consultation on the new Research Strategy and learning from past experience, DFID has decided that Research Programme Consortia

¹ DFID's Research Strategy was launched on 22 April 2008 and is available on the DFID website: <http://www.dfid.gov.uk/Documents/publications/research-strategy-08.pdf>. The research strategy is supported 10 working papers: <http://www.research4development.info/FeatureResearchStrategy.asp#WorkingPapers>

need in addition to high quality relevant research, to have strong elements of capacity building for southern research partners, and high quality communications and policy engagement. DFID is also keen to ensure that gender analysis and the use of disaggregated data are part of everyday research practice.

6. DFID's research strategy pledges both to help build demand and to be more responsive to demand for research in our partner countries and to assist developing countries to improve their capability to carry out research, as well as helping partners apply research results locally and make sure that research from developing countries forms part of international debate.
7. This Terms of Reference (ToRs) sets out how the RPCs will achieve these objectives. The ToRs will be updated as necessary to reflect best practice and lessons learned.
8. DFID welcomes applications from southern based institutions as lead organisations in RPCs. Successful organisations at the Expression of Interest (EoI) stage are eligible for up to £10,000 support to bring partners together to discuss the proposal process, including planning, budgeting and addressing the criteria laid out for RPCs in this ToRs (e.g. communications, M&E, research into use, management, financial issues, procurement etc.)

What are Research Programme Consortia?

9. RPCs are centres of specialisation around a particular research and policy theme. They are made up of a group of institutions, including (or exclusively) institutions in developing countries, with a lead institution that has overall management and financial responsibility. Institutions may include academic, civil society and commercial organisations (including operational development and communications organisations).
10. RPCs must focus on quality research outputs relevant to practitioners or policymakers. They must also include 1. systematic communication of research results to enhance access to research (and to provide a strong link between research and policy processes, and 2. building southern research capacity.
11. RPCs will have a portfolio of projects within their overarching research framework, each project contributing to the achievement of the purpose and goal of the RPC.
12. It is anticipated that outputs from the RPCs will include:
 - A coherent body of high quality, policy relevant new knowledge that makes a significant contribution to the understanding of the programme area. In this context RPCs will be expected to raise the profile of southern research partners.
 - Systematic and strategic communication of research, that demonstrates how different audiences are targeted and through what means (i.e. a combination of channels including the media, web based resources, workshops, meetings and written material).

- Proven evidence of improved access to research outputs or uptake and use of new knowledge by policy makers, international organisations, research institutions and other users of research, especially those in developing countries..
 - Strategic capacity strengthening of developing country partners resulting in the development of a 'critical mass' of research, research support and institutional support (e.g. finance, reporting etc).
12. RPCs will include an inception phase of up to one year to strengthen partnerships, develop partnership frameworks with Consortia partners, and develop an inclusive programme that incorporates quality research, capacity building and a draft Communication Strategy, as well as financial and management protocols. Assessment of progress of the RPC will be made on the inception phase report, to be submitted to DFID at the beginning of the penultimate month of the inception phase. Failure to achieve DFID approval will result in cancellation of the RPC.
13. RPCs are expected to combine skills expertise in all of the following core areas:
- high quality applied and operational research
 - excellent communication and policy influencing skills
 - high quality monitoring and evaluation frameworks
 - high quality frameworks for capacity building with Southern partners
 - high quality gender mainstreaming capacity
 - high quality management ability, including personnel and financial management.
14. It is vital that the consortium of institutions that constitutes the RPC is viable and feasible. The partners are the major contributors to the RPC but they are unlikely to include all organisations with which the RPC is likely to collaborate or consult during its life. RPCs should demonstrate that they have access to a variety of specialist skills.
15. Members of consortia must guarantee their participation in the RPC, even though the precise terms of such participation may only be finalised in the inception phase. Organisations should not participate in bids where they would be unable to deliver in the event of the bid being successful. It is expected that where part of an institution is a member of a consortium, the institution as a whole supports their participation.
16. Only one organisation will be awarded the RPC contract, so consortia must clearly identify the lead organisation, as well as identifying all partners.
17. Governance, essential features and selection criteria for new RPCs are illustrated under Annex 5.

Consortium Chief Executive Officer

18. Each Consortium must be led by a single Consortium Chief Executive Officer (CEO). This position is anticipated as part-time. DFID estimate that this should be approximately 50% of a post but would be flexible around a good case being made for more or less time. The Consortium

CEO will be a senior manager (preferably with some experience in research), with high level corporate management skills, able to interface between all Consortium partners, the Consortium Advisory Group, DFID and other stakeholders as required. The CEO will provide vision, leadership and direction to the research programme and administration of the RPC, overseeing design, delivery and quality. The CEO will have financial and human resource management oversight.

19. The roles and responsibilities of the CEO are available in the generic CEO terms of reference, see Annex 1. ToRs for the Advisory Group can be found at Annex 4.

Consortium Research Director

20. Each Consortium must nominate a Consortium Research Director who must be in the lead institution. The post could be shared between no more than two people, in which case one of the Research Directors may be in a partner institute. Full-time coverage for the Research Director's post is not mandatory but DFID will critically assess the levels of expertise and time allocated to this function by prospective RPCs. The Consortium Research Director will report directly to the Consortium CEO. The Consortium Research Director will be a senior research manager with a demonstrated ability to provide leadership to multi-disciplinary research teams, and to communicate with users and policy-makers in an effective manner. Proven research management skills are essential, as is experience of capacity development. A range of contacts with relevant research and policy people and institutions is desirable.
21. The roles and responsibilities of the Consortium Research Director are available in the generic Consortium Research Director terms of reference, see Annex 2.

Other Key Staff

22. RPCs will also appoint a Research Programme Manager and an expert communications manager. DFID will critically assess the levels of expertise and time allocated to these functions by prospective RPCs.
23. The Research Programme Manager will manage the day to day running of the RPCs under the direction of the Research Director. Research Director and CEO will draw up the ToRs for this post.
24. The Communications Manager is a specialist post which recognises the importance given to strategic and systematic communications within research programmes. Communications Managers must have the capacity to ensure that the communications functions are carried out to a high quality. See Annex 3 Communications Manager generic ToRs.

Communications: Getting Research into Use

25. The main aim of the RPCs is to generate new policy-relevant knowledge that will help developing countries, the wider development community, and DFID to address poverty. It is essential that RPCs maximise the potential policy and practice impact of their research. To do so RPCs will have to

produce high quality research evidence that is accessible to policy. To achieve this RPCs will need to build partnerships within the relevant policy spheres in order to understand it and take advantage of opportunities arising from the processes of policy making, which are generally highly politicised with competing priorities and limited resources adding to the complexities. DFID will place an extremely high value on the ability of prospective RPCs to demonstrate the potential for getting research into policy and practice. Getting research into use is a key DFID priority. DFID expects to be able to use the results of the research it funds and also fully expects others to be able to do so.

26. Amongst the most effective ways to support the uptake of research knowledge are strengthening demand for knowledge and improving access to information, building capacity to do and use research, and engaging with key user stakeholders, especially policy makers. To this end it is suggested that a substantial proportion (over 30% would not be unreasonable) of RPC budgets will be allocated to communication (including knowledge management and open access publication), capacity building and monitoring and evaluation. At least 10% must be allocated to Communications.
27. Research communication is much more than dissemination of publications. It is a continuous process, that is about understanding and engaging with different audiences, especially users of research results, and in particular policy advisers, analysts and decision makers including DFID. Effective communication requires an understanding of, and support to an enabling environment for uptake². Therefore a key requirement for an RPC is the involvement of authoritative and influential constituencies engaged in the generation and/or communication of knowledge. This involvement should aim to maximise the opportunities of exerting influence on policy. The nature of these constituencies will vary widely according to target audience.
28. For this reason, the research should involve genuine collaboration with a variety of stakeholders (local, national and international, including donors, government and civil society organisations). Stakeholder involvement at all of these levels will be crucial in terms of getting research results into use. DFID expects all research programmes to have an integrated communications strategy that is reviewed and adapted at regular intervals throughout the research programme.
29. A Communication Strategy should be developed during the inception phase. The strategy should be developed and implemented as appropriate by all partners. (See DFID guidance <http://www.research4development.info/PDF/Publications/communication-research.pdf>.) The Communications Strategy must be adequately budgeted and at a minimum it should account for 10% of the RPC budget. RPCs will be expected to demonstrate that they also have good networks with knowledge centres, multi disciplinary professional journals and associations. RPCs must submit at least 2 case studies per year to DFID and 10 over the life of the programme (see template at: http://www.research4development.info/PDF/Articles/Revised_Case_study-

² Consult Research Communications Working Paper published as background to the Research Strategy for more information

[template_for-programmes_landscape.doc](#)) These will feed into an annual DFID Research publication of progress and results.

Open Access

30. DFID is committed to strengthening demand for knowledge and improving access to research information. To this end DFID will develop an Open Access policy³. DFID funded research programmes will be expected to comply with this policy in due course. In the meantime, RPCs should illustrate their own plans for Open Access of research outputs and access to RPC data sets. With regard to **author pays publishing**, DFID expects RPCs to collaborate with researchers/authors in choosing where to place their research, and it is expected that Open Access fees will be paid for either by the RPC (most likely through the communication budget) or through arrangements that the RPC host institution has on Open Access. It will be the research programme's responsibility to monitor the percentage of research outputs that are available under Open Access and to inform DFID of the details and the percentage in the programme's Annual Reports. An information note on Open Access is provided: http://www.research4development.info/PDF/Publications/GuidanceNote_OpenAccess.pdf
31. DFID also encourages its research programmes to archive quantitative and qualitative data sets, resulting from the research it funds, with appropriate data archiving repositories.

DFID Branding

32. The public has an expectation and a right to know what is funded with public money. It is expected that all research outputs will acknowledge DFID support in a way that is clear and explicit and which comply with DFID Branding Guidance. This will include ensuring that publications acknowledge DFID support. It is also expected that, as far as possible, all outputs are forwarded to DFID for inclusion on the R4D website. DFID expects to receive at least 10 hard copies of each article that cannot be put onto the website e.g. books published; articles in non-open access journals and so on. Guidance on compliance with the Government's policy on setting-up and running websites (funded with public money) is being developed.
33. If press releases on work which arises wholly or mainly from the RPC are planned this should be in collaboration with DFID Research.

Capacity Development

33. DFID recognises three aspects of capacity development: (i) building research capacity; (ii) building organisational capacity (e.g. management,

³ It can be anticipated that the full text of any articles and technical reports resulting from funding that are published in journals, conference proceedings or as RPC working papers, whether during or after the period of funding, should be deposited, at the earliest opportunity, in an appropriate Open Access repository, and also with DFID's R4D, subject to compliance with publisher's copyright and licensing policies. Wherever possible, the article deposited should be the published version.

financial, communications); and (iii) institutional capacity building (e.g. the incentive structures, the political and regulatory context and the resource base in which research is undertaken and used by policy makers). Over the life of the RPC it is expected that institutions involved will develop their research capability, their organisational capacity and engage in building an enabling environment and links with policy makers.

34. It is expected that the RPC will develop a capacity building strategy during the inception phase, and that activities will be adequately budgeted for. Organisational capacity building might include outsourcing of activities to a third party that could undertake organisational needs assessments and develop systems, training, events for managers and administrators and so on. RPCs should consider independent needs assessment of capacity development during the inception phase of the research programme. These issues are further discussed in the Capacity Building information note:
http://www.research4development.info/PDF/Publications/GuidanceNote_CapacityBuilding.pdf
35. The RPC should provide a number of career pathways within the programme, not just research training, and include a focus on the legacy of the programme in the partner institutions
36. DFID is very keen to encourage southern led research and devolvement of research responsibility. RPCs should develop feasible plans and initiatives to realise these objectives to the extent possible, as part of the capacity building strategy.
37. DFID expects to see reasonable overheads for southern partners included in the programme budget. This would include, if necessary, the purchase of communications equipment, such as video-conferencing, facilitate teleconferencing between RPC members and between the RPC and the CAG.

Monitoring and Evaluation

38. DFID recognises the need to show that investment in research is a good development investment and to be able to illustrate good value for money. The DFID Research Strategy highlights the need to improve monitoring and evaluation of research results to illustrate value for money, deliver high quality usable research and to help us to make sure research results influence the decisions of policy-makers.
39. The DFID Research Strategy sets out a results framework with four key results areas, which will be monitored by DFID through a new Research Strategy Monitoring and Evaluation Framework. DFID expects all RPCs to address these results areas, as appropriate to the specific research being conducted, and ensure that these are reflected in the RPC Monitoring and Evaluation Strategy, and reported on through annual reports, and mid-term and completion reviews.
40. DFID expects the RPC to develop a sound M&E strategy during the inception phase, with strategic oversight from the CEO and Research Director. (See DFID guidance: http://www.research4development.info/PDF/Publications/Information_note

[M&E.pdf](#). DFID recognises that it is not easy to measure the impact that research results have on development and that it can be difficult to separate out those factors that actually result in change over time. However, DFID does expect to learn powerful lessons from its research and therefore expects the RPCs to develop innovative ways of measuring the impact of the research, to show what an important contribution research can make to achieving the MDGs and supporting development for future generations.

Communications and M&E Guidance and Support

41. DFID provides guidance on communications, monitoring and evaluation and on reporting requirements. This information can be found on the DFID website: <http://www.research4development.info/dfidguidancenotes.asp>.
42. A Research Communication Support Facility is being developed to provide advice, training, mentoring and consultancy services to the DFID-Funded research community. It will be available to RPCs to buy in expertise and experience as necessary during the RPC research cycle.
43. DFID has developed a Wiki devoted to M&E for communications, for further support to RPCs. Whilst this is primarily for communications there are many generic M&E tools that can be applied more broadly.
44. During the inception phase DFID will provide access to two-day Monitoring and Evaluation support, including topics on developing baselines, setting indicators and looking at some of the key tools for monitoring and evaluation. This will be mandatory and RPCs will budget for this within inception phase budgets.
45. DFID will provide access to two-day log-frame development support to assist with developing specific RPC log-frames. This will also be mandatory during the inception phase but will be after the M&E support input. RPCs will budget for this within inception phase budgets.
46. Further details on DFID engagement and support can be found at Annex 6.

Demand-Led Research

47. DFID is very keen to encourage demand-led research and to respond to the research priorities of our developing country partners. The Research Strategy highlights a commitment to ensuring that DFID research programmes articulate demand in their proposals and in the formulation of research questions, and that they show evidence of this demand (For more information, see [Research Strategy Working Paper, Stimulating Demand for Research, 2008](#)). RPCs should address these commitments, providing justification for the key components of the overall research programme in terms of illustrating a nuanced view of demand.

Gender and Social Exclusion

48. DFID's new research strategy makes a clear commitment that all of our research will tackle the causes and impacts of gender inequality, because it has such an influence on poverty. DFID expects all of its research

programmes to ensure that gender analysis and the use of disaggregated data, by sex, is part of everyday research practice. (For more information, see DFID Research Strategy Working Paper: Mainstreaming Gender in Research.) RPCs will therefore demonstrate a strong pro-poor and equity focus, incorporating gender mainstreaming as a general rule. RPCs will be expected to illustrate a gender mainstreaming approach in all areas of their programmes: research objectives, building capacity amongst research partners, and communication.

49. The research strategy also recognises the need to understand more about social exclusion and one of the responses to do so is a commitment to the appropriate use of disaggregated data with regard to the kinds of variables that can shed more light on social exclusion and poverty related research and analysis such as age, ethnicity and race. RPCs will be expected address social exclusion factors where appropriate to the country and/or thematic research context and to ensure that research data is disaggregated as far as practicably possible by multiple variables including sex, age, ethnicity, and race⁴. An information note on Gender and Social Exclusion is provided on R4D: http://www.research4development.info/PDF/Publications/GuidanceNote_Gender&SE.pdf

RPC Inception Phase

50. All RPCs will have an inception phase of up to one year, during which detailed proposals and budgets will be developed and submitted to DFID in the form of an inception report. The report (including annexes) will include:
- Detailed research framework, including research approach and hypotheses, and research methodologies to be used, illustrating how the research will contribute to poverty reduction.
 - Capacity Building Framework, including realistic and achievable plans for developing southern-led research and for devolving viable aspects of research responsibility to southern partners during the life of the RPC, where the RPC has a northern lead.
 - Communications Strategy, including plans for dissemination and advocacy with policy makers in country (including government, donors, and others) and demonstration of engagement with civil society through advocacy and community mobilisation groups.
 - Outline of existing plans/approach to Open Access publishing and data sets.
 - Monitoring and Evaluation Framework, including log-frame
 - Gender mainstreaming approach.
 - Management and finance framework.
51. DFID may terminate the contract at the end of the inception phase if the programme of work is unsatisfactory. This will be measured against the RPC criteria provided in the tender documents and during start-up negotiations (see also annex 5). Progress will be monitored through reviews, agreed between DFID and the RPC on agreement of contract.

⁴ DFID is committed to making sure "that gender analysis and the use of disaggregated data is part of everyday research practice". DFID Research Strategy 2008-2013, p40

This will include at least an interim meeting at the mid-point of the inception phase and the end of the penultimate month.

Responsible Closure

52. All RPCs must have a responsible closure strategy that incorporates how to capture lessons and key research findings, and how to deal with research and partnership legacies. This should be developed from the beginning of the programme and reviewed periodically, especially during mid-term reviews. For further information on responsible closure see: http://www.research4development.info/PDF/Publications/Responsible_Closure.pdf

Research Themes

53. DFID is looking for innovative, strategic research themes in the areas outlined in the relevant call for proposals that will generate new knowledge, challenge existing knowledge and help shape development policy and practice in the future. DFID is also looking for research that will present comparative perspectives and findings across countries and regions as appropriate.
54. Although not part of the research contract it is expected that Consortia will become important sources of specific policy advice for DFID.

Annex 1 : Terms of Reference for Chief Executive Officer, Research Programme Consortia

1. Each Consortium must be led by a single Consortium Chief Executive Officer (CEO). This position is anticipated as part-time. DFID estimate that this should be approximately 50% of a post but would be flexible around a good case being made for more or less time. The Consortium CEO will be a senior manager (preferably with some experience in research), with high level corporate management skills, able to interface between all Consortium partners, the Consortium Advisory Group, DFID and other stakeholders as required. The CEO will provide vision, leadership and direction to the research programme and administration of the RPC, overseeing design, delivery and quality. The CEO will have financial and human resource management oversight. The CEO will take strategic leadership for Monitoring and Evaluation.
2. The CEO can be a member of staff of the lead organisation or one of the partner organisations but their responsibility will be to the lead organisation. Prospective RPCs will be required to show how the RPC has organised lines of accountability and how these will be monitored to ensure that it works.
3. The Chief Executive Officer (CEO) will take overall responsibility for management oversight of the RPC described in Annex 5, with an emphasis on performance management to ensure achievement of project goals, and including professional, financial and administrative management, The CEO will be accountable to the lead organisation of the RPC, which is accountable to DFID.
4. RPC Management Oversight shall include:
 - Management oversight of all aspects of the RPC (including financial and human resources)
 - Ensuring the delivery of agreed outputs of the RPC.
 - Managing the development of the communications and capacity building strategies, and strategically promoting the use of RPC generated knowledge.
 - Managing the development and implementation of the Monitoring and Evaluation strategy.
 - Controlling the expenditure of the RPC
 - Oversight of data management procedures, including long-term accessibility to data after the RPC ends and developing procedures for open access to data and knowledge.
 - Developing and Managing an exit strategy for the RPC.

GENERAL

5. Liaising between different components of the Consortium, particularly about strategic and directional issues, and trouble shooting when required.
6. Strategising on engagement of users and policy-makers with the research, representing the Consortium in public debate and other media.
7. Oversight and accountability for planning, programme design and delivery of RPC objectives, strategies, plans and budgets in compliance with principles

of good governance.

8. Accountability for financial probity and risk management (including financial risk, risk to staff, reputational risk etc).
9. Strategic leadership on communications and Public Relations.
10. Strategic leadership on capacity development, identifying requirements for organizational capacity building and the development and implementation of the capacity building strategy.
11. Strategic direction in the design, implementation and performance management of the Communication Strategy, highlighting key policy influencing moments and approaches.
12. Strategic direction in the design, implementation and performance management of a clear gender mainstreaming approach.
13. Manage all lead institution based administrative staff working for the Consortium, excluding principle investigators and research staff.
14. Be accountable for quality assurance of performance measures (e.g. outcome indicators, interim milestones, and the efficacy of the overall monitoring and evaluation systems); Ability to devolve responsibility.
15. Review, with Research Director and in accordance with Consortia Advisory Groups' remit (see Annex 4), annual work plans, budgets, annual reports prior to submission of same to DFID.
16. Propose key issues for inclusion in agendas for CAG meetings, reflecting priorities, challenges and opportunities for the RPC.
17. Act as the spokesperson for the RPC and serve as ambassador for the RPC with high-level stakeholders internationally.
18. Act as ex-officio member of the CAG.
19. Managing the relationship with DFID and oversight of reporting to DFID

Annex 2: Terms of Reference for Research Director, Research Programme Consortia

1. Each Consortium must nominate a Consortium Research Director who must be in the lead institution. The post could be shared between no more than two people, in which case one of the Research Directors may be in a partner institute. Should a Research Director leave the post during the life of the RPC, the administrative home of the future Research Director must remain the same. Full-time coverage for the Research Director's post is not mandatory but DFID will critically assess the levels of expertise and time allocated to this function by prospective RPCs.
2. The Consortium Research Director will be a senior research manager with a demonstrated ability to provide leadership to multi-disciplinary research teams, and to communicate with users and policy-makers in an effective manner. Proven research management skills are essential, as is experience of capacity development. A range of contacts with relevant research and policy people and institutions is desirable.
3. The Consortium Research Director does not have to be the most senior prominent academic in the research field but s/he may also be engaged in specific research undertaken by the programme.
4. The Research Director will report directly to the CEO and will undertake general management of the Research Programme Consortium ("the RPC").
5. The Research Director will have overall responsibility for developing and implementing a programme to achieve the purposes set for the RPC.
6. RPC Management shall include:
 - Managing the members of the consortium and any work that may be commissioned outside the consortium in ways that may best contribute to the achievement of the purposes established for the RPC.
 - Managing all research staff based in the Director's organisation, including principle investigators. Where the lead is overseas this applies to that country.
 - Where applicable, co-ordination of the RPC with other DFID programmes and other multilateral and bilateral donors' programmes to avoid duplication and to promote synergies.
 - Ensuring delivery of the outputs set for the RPC.
 - Reviewing the progress of the RPC in terms of potential impact on development problems.
 - Disseminating and promoting the use of RPC-generated knowledge for the benefit of poor people in developing countries.
 - Managing mechanisms for data archiving, including procedures for long-term accessibility to data after the RPC ends and procedures for public

access to data and knowledge.

- Ensuring gender dimensions are mainstreamed into research themes.
- Terminating unsuccessful activities.
- Act as member of the CAG.

Consortium Development

7. Consortium development will include tasks that further the consortium purposes, including:
 - Defining additional outputs for agreement with DFID.
 - Project identification.
 - Identifying the clients for research outputs within and beyond the consortium, the means by which these outputs may be used and how they should be packaged and promoted.
 - Establishing effective relationships with the consortium partners and with other collaborating research institutions in target countries to promote the transfer of knowledge to beneficiaries.
 - Development of new consortium milestones for agreement with DFID.

General

8. Establish all necessary arrangements to achieve the consortium outputs within the time-frames specified in the technical proposal in a cost-effective way and achieving best value for money in the commissioning of activities. Taking into consideration the views of relevant DFID managers, the Consortium Advisory Group (CAG) and local institutional capacity, seek economies and operational advantage by focusing effort geographically. In at least one target country, establish close co-ordination with the DFID country programme.
9. Establish and maintain liaison with relevant DFID advisers and with local institutions in target countries in which research activities are to be implemented. DFID will assign a lead adviser to liaise closely with the Consortium Director.
10. Establish a Consortium Advisory Group (CAG) to guide implementation of the Programme, and establish mechanism for interaction with the CAG in order to facilitate the CAG in fulfilling its terms of reference. Terms of reference for the CAG are at Annex 4.
11. Submit research proposals to relevant specialist resources for appraisal to ensure that quality, developmental relevance and demand criteria are met.
12. Identify and establish the type, standard and frequency of collection of baseline data on agreed indicators for evaluation of the RPC. Design and implement a cost-efficient monitoring system.
13. Monitor progress against the outputs and milestones, securing from consortium

partners project documentation, regular financial, operational and technical reports within prescribed deadlines.

14. Identify and establish the means by which research products will be promoted and adopted *inter alia*:
 - Ensuring that the identification and establishment of promotion pathways is a design feature from the start.
 - Packaging of research in a form appropriate for use by beneficiaries.
 - Promotion of research products within the consortium and to other target institutions and beneficiaries.
 - Syntheses of knowledge and lesson-learning on specific themes.
 - Communications with DFID advisory groups and with other RPC Directors.
 - Communication and liaison as necessary with professional groups in other donor and aid implementing agencies.
 - Co-funding and parallel funding with bilateral and multilateral donors.
15. Ensure that an appropriate level of social and economic analysis is incorporated into each relevant stage of programme cycles and that the likely direct or indirect impact on the environment is taken into account in each stage of programme cycles.
16. Working with CEO, ensure that the consortium is managed in accordance with best practice, e.g. that it can demonstrate value for money, that its decision making processes are inclusive, equitable and transparent and that there are established planning, project management, review and quality control systems in place.
17. Monitor RPC expenditure against the annual budget allocation set by DFID Research and the financial limit with accurate forecasting of expenditure and submit quarterly and annual financial reports to DFID Research in the format prescribed by DFID. Provide additional financial information as required by DFID Research.
18. Prepare, and obtain CAG approval for submission of, annual work plans, budgets and reports to DFID Research in the format prescribed by DFID, participating as required in DFID Research monitoring and review of the RPC. Provide progress reports at intervals and in the format prescribed by DFID. The progress reports will be used by DFID to monitor performance by the Director.
19. Provide information on the RPC for DFID's knowledge management systems as required.

Annex 3: Terms of Reference for Communications Manager Research Programme Consortia

1. The Communications Manager will be an **expert** in communicating research and will report to the Research Director.

The Communications Manager will have overall responsibility for planning, implementing, monitoring and evaluating the communication strategy for the research programme. The post will involve close engagement with the research work, people, debates and partners across a range of countries. This post will be crucial in helping programme to develop policy-influencing strategies linked to research results. The postholder will need to combine strong interpersonal and communications skills with the vision, networking skills and entrepreneurial ability to develop and implement a communication strategy which engages with different audiences and finds relevant ways to communicate to these audiences. The overall objectives of the strategy are to ensure access to the research and enhance the potential for uptake of the research outputs.

2. The Communications Manager will develop and implement a coherent communications strategy, in consultation with research and management staff. This will include

- Undertaking a communications assessment for the entire programme, including the capacity and needs of the RPC partners to collaborate and delivery communications components;
- Undertaking stakeholder analyses, in collaboration with research staff, to identify key audiences for research findings at different stages of research
- Liaising with stakeholders to provide feedback on the results of research and its impact on policies
- Coordinating the monitoring and evaluation of the communications strategy at central level and in partner countries, and contribute to the writing of annual reports and funding applications when needed.

3. The Communications Manager will contribute to the production of a range of communications outputs that will be accessible to policy makers at national and international levels. This will include:

- Proactively working with research staff to produce communications products that are designed for the programmes' different audiences.
- Proactively working with research staff to identify the most appropriate communication channel for different products (for example, through the media, television, radio, workshops, etc).
- Proactively work with target audiences to find ways of meeting their needs. This might involve an assessment of the communications context in which the research is being targeted or demanded.
- Designing and maintaining the RPC presence on the internet, including monitoring use and establishing subscription mechanisms for interested parties where appropriate.
- Developing internal communication processes for the RPC.
- Identifying ways of engaging with those directly involved with or

interested in the research (e.g. newsletters, blogs).

4. The Communications manager will support the capacity of RPC partners to communicate research findings to relevant audiences. This will include:
 - Developing generic communications tools that can be used by communications focal people in RPC partner institutions.
 - Identifying training needs for communication among partner institutions and appropriate means of addressing these, including, if appropriate, short training courses.
 - Sharing good practice with RPC partners (and other RPC and DFID funded research programmes) in order to maximise the impact of communication activities.
 - Identifying and developing case studies and news stories for the RPC itself but also for sharing with DFID.
 - Developing a process to track and communicate case studies and news stories.
 - Supporting researchers to determine where the research has potential for use, and how to make it accessible to different types of research user.
5. The Communications Manager will be responsible for working with the Research Director in identifying mechanisms to synthesise the research findings into short, relevant briefs for policy makers and especially DFID. They will also be responsible for developing appropriate communication products as part of the exit strategy for the programme.
6. The Communications Manager must demonstrate an understanding and practical application of (i) policy and research cycles and (ii) processes for research accessibility and use.

Annex 4: Terms of Reference for RPC Consortium Advisory Group (CAG)

1. Each DFID's Research Programme Consortium (RPC) is managed under contract by a lead academic, other non-governmental or private sector institution. Each RPC Director is advised by an inter-disciplinary Consortium Advisory Group (CAG), independent of the managing institution and with a clearly defined quality control function in the implementation of the RPC. This quality control function must be established in the RPC management framework and must be agreed with DFID.
2. The CAG's role is advisory in the first instance and the RPC Director is not obliged to follow its advice in full. However, the RPC Research Director is required to explain to the CAG and to DFID if the CAG advice is not being followed to the full and in a reasonable timescale. The CAG will also have a role in reviewing aspects of the RPC and its work.
3. In certain circumstances a CAG may wish to set action plans and milestones/targets to be achieved after deliberation on progress or issues arising, for example, where an MTR is unacceptably poor.
4. A financial ceiling for CAG activities will be established annually by the RPC Director as a component of RPC costs, subject to contract. Reasonable costs of attendance at no more than two CAG meetings a year will be reimbursable by the Research Director. CAGs should make use of video and teleconferencing.
5. The CAG will have an independent Chair, agreed by DFID.
6. The CAG Secretariat will be provided by the RPC. The Secretariat will circulate papers for appraisal, review or comment; establish CAG meeting agendas in consultation with the Chair, The Research Director and the CEO, and take a formal record of each meeting for circulation (on approval of the Chair) to all members of the CAG and to DFID. CAG meeting dates will be agreed, in advance, with DFID and CAG members.
7. Each CAG will comprise not less than 50% representation external to the consortium and have, for example, at its core:
 - independent Chair, agreed by DFID Research;
 - RPC Director;
 - CEO (ex-officio)
 - members who have skills complementary to those of the RPC and which should include expertise in the following areas: RPC thematic area, gender, policy, advocacy and communications. Membership should include developing country representatives. Members may include appropriate representatives from academia, government, donor, NGO or civil society organisations.
 - DFID Adviser(s);

The DFID Programme Research Manager and/or the Deputy Programme Manager allocated to this RPC may be invited to CAG meetings as ex-officio members.

Core CAG Remit

8. The CAG will advise the RPC Director on strategy taking an overview of the shape, direction and implementation of the RPC to meet its objectives and address the priority knowledge needs of poor people.
9. The Committee is expected, *inter alia*, to provide the following support to the Director:

Advising

- Advise on uptake channels and opportunities for packaging and promoting research products to ensure their effective communication to intended users;
- Advise on effective partnerships with target institutions in developing countries both within and outside the consortium, and with DFID bilateral programmes as appropriate;
- Advise the Research Director and the CEO on the need to commission periodic independent reviews of specific pieces of research and of other consortium activities.

Reviewing:

- Review and advise on the strategic direction of the RPC, the future programme of the RPC and endorse the annual workplan.
- Review the progress of work, monitoring reports and outputs quality assurance of content and opportunities for policy engagement globally.
- Review the performance of the partnership, with the individual partners' effectiveness within the partnership
- Review the governance and management of the programme, including the performance of the CEO and the Research Director.
- Review RPC criteria for the appraisal of research proposals to ensure they meet DFID objectives and demand criteria (including poverty reduction objectives, adequate coverage of cross-cutting issues, broad range of institutions including those in developing countries, capacity building in-country, high technical quality; identification of communication and promotion channels).
- Review and validate workplans, annual accounts and the annual RPC reports prior to submission to DFID.

Annex 5: Governance, Essential Features and Selection Criteria for RPCs

Governance of RPCs

1. RPCs must demonstrate high quality and viable governance mechanisms. They must demonstrate:
 - Inclusive internal planning and management structures and processes.
 - Clear demonstration of the roles and responsibilities each partner will play over the life of the RPC. The viability of these roles and responsibilities, including the potential for devolvement of responsibilities to southern based partners (where there is a northern lead), will be clearly articulated and underpinned by a transparent and inclusive management process.
 - Strategies to remove any potential conflicts of interest around academic incentives
 - Allocation of resources based on agreed and transparent criteria with partners
 - Strategies for the hiring and termination of RPC contracts remuneration for RPC members in accordance with approved budgets.
 - All partners will be required to sign off the proposal, budget and inception phase report, as well as annual reports.
 - All partners will be required to agree and endorse the code of ethics, and plans for open access and public access to RPC data sets.
2. RPCs will be advised by an inter-disciplinary Consortium Advisory Group (CAG), independent of the managing institution and with a clearly defined quality control function in the implementation of the RPC. The CAGs will provide advice specifically to the RPC CEO and the RPC Research Director, and liaise with DFID as required. Skills of the CAG should complement (not mirror) skills in the RPC.
3. The CAG will have an independent Chair, agreed by DFID. See Annex 3 for CAG terms of reference
4. The activities of the Consortium will be driven by a coherent research agenda, focusing on a particular theme. Activities which may be funded under an RPC contract include research (staff time and direct costs), developing training materials, southern capacity development and dissemination, including workshops and conferences, web-sites, publications, policy briefings and so on. Consortia are expected to contribute to the broad information base for decision making about policy for the relevant thematic area of research in developing countries.

The essential features of RPCs include the following:

- Headed by a single lead organisation which may be in a developed or developing country;
- Comprise 4 to 6 (max) institutional partners (inclusive of the lead organisation) of which at least three must, and all may, be in developing countries.

- May comprise of a variety of institutions: academic, civil society and/or commercial organisations, including operational development and communications organisations.
- At least two of the consortium members should be well established, with demonstrable track records in the relevant research fields.
- Have a strong senior Chief Executive Officer, with excellent corporate level management and influencing skills.
- Have a strong Research Director, with expertise in the relevant field and research management expertise.
- Have strong communications and research into use skills.
- Should be as 'gender balanced' as possible.
- Should be comprised of individuals who bid for no more than the total amount of time s/he can contribute.
- Advised by an inter-disciplinary Consortium Advisory Group (CAG).
- Incorporate effective strategies for monitoring and evaluation (including systematic and coherent objective setting), communications and capacity building.
- Include a strategy for responsible exit that is owned by all partners, and that addresses the expected legacy for the research partners.
- Incorporate a clear code of ethics.
- Incorporate plans for open access publications and public access to data sets.
- Provide a regular flow of research information to DFID and the services we fund to highlight research results.

The criteria used in the selection of new RPCs will include the following core criteria, supplemented as required in individual calls for proposals:

- Importance of research theme, highlighting key research questions/hypotheses, why the research theme is important and how this is demonstrated through demand for information on this area. Questions should ideally be framed in a way where the exact policy questions being addressed, and the target audience of research output, is clear. The likelihood of research contributing to poverty reduction should be laid out.
- Quality of research approach/methodology, including quality of the outline plan and examples of hypotheses; plans for disaggregated data sets; and how these will be developed during the inception phase.
- A track record of significant research output to the highest international standards. Not every institution in an RPC needs to demonstrate this (and providing capacity strengthening of southern institutions at an early stage of their research output is a positive advantage), but the RPC as a whole must.

If these three criteria are not met the RPC will not be considered further. In RPCs which have a convincing case that they are likely to be addressing important and relevant questions with a good output of high quality research the following will also be assessed:

- Measuring success: Quality of monitoring and evaluation proposals.
- Quality of governance arrangements of the RPC, including proposed governance structure, collaborative arrangements, fit of partners and interdisciplinary skills mix; quality of proposed organisations, researchers, CEO and Research Director, Communication Manager and Programme Manager

- Quality of capacity building framework, including realistic and achievable plans for developing southern-led research and for devolving viable aspects of research responsibility to southern partners during the life of the RPC, where the RPC has a northern lead.
- Quality of communication capacity, incorporation of plans for getting research into use, and proposed methodologies, including where appropriate demonstration of engagement with policy makers in country (including government, donors, and others); demonstration of engagement with civil society through advocacy and community mobilisation groups; articulation of approach to research informing policy and practice, including enabling environment for uptake.
- Quality of gender mainstreaming approach and methodological approach that includes disaggregation of data to address gender and social inclusion issues as outlined in RPC ToRs under paragraphs 49-51.
- Quality of approach to ethical issues based on understanding of the ethical issues likely to be encountered in the work and how these will be addressed.
- Approach to Open Access and data archiving.
- Value for money (VFM) – (a) demonstration of how realistic the budget is in proportion to likely impact; and (b) illustration of sufficient budgeting for communications, capacity building and M&E to reflect the importance this terms of reference places on these activities.

Annex 6: DFID Engagement

1. The DFID Research Manager or Deputy Programme Manager will be the RPC's key point of contact on all management, reporting and budget issues; will receive all annual reports, reviews, research outputs, communications activities; and will be the first point of contact for requests for DFID support to the RPC. The Research Manager or Deputy Programme Manager will share annual reports and research outputs with the advisers and also with relevant country offices.
2. The DFID advisers will provide support/engagement on a variety of issues and will attend annual review and CAG meetings, review annual reports, log-frame development, research, communication and capacity building progress. The advisers will provide links to policy development activities in DFID HQ and with country offices, and will support advocacy initiatives of the RPC
3. At least one member of DFID advisory staff should be a CAG member, whilst the Research Manager/Deputy Programme Manager may attend CAG meetings as an ex-officio member
4. DFID Research will meet formally with the RPC at least once per year either face-to-face, by video or telephone conference throughout the life of the research programme. In general, it is expected that meetings will actually be much more frequent in order to build a constructive relationship that will be of benefit to both DFID and the RPC.
5. The DFID Research Manager or Deputy Programme Manager will advise on the scope for effective collaboration with other research programmes especially where there may be opportunity for packaging or jointly promoting the uptake of research products.
6. DFID will provide guidance and support as follows:
 - Information notes on (i) Monitoring and Evaluation, (ii) Communications, (iii) Capacity Building, (iv) Open Access and (v) Gender and Social Exclusion; (vi) Responsible closure of research programmes.
 - In-depth guidance on (i) Communicaitons and (ii) Monitoring and Evaluation.
 - Monitoring and evaluation: Two days' support on M&E techniques
 - Log-frames: Two days' support on log-frame development
 - Communications and policy engagement: (i) A wiki outlining practical M&E techniques for tracking and tracing research communications contributions to overall research and development outcomes; (ii) Access to the DFID Research Communication Support Facility for mentoring, consultancy, convening Community of Practices.
 - Generic formats for key documents such as Annual Reports, Mid-Term Review terms of reference and reports, Inception Reports and so on.

This guidance is available at:
<http://www.research4development.info/dfidguidancenotes.asp>.

7. The Research Strategy commits to developing a Knowledge Management strategy for DFID Research. Specifically the Knowledge Management strategy aims to improve the way we identify, capture and share knowledge. It will also enhance better access to knowledge when it's needed. This applies to both internal and external systems. The Knowledge Management Strategy for DFID research is a component of DFID's Knowledge and Information Management strategy, currently being developed. R4D (www.research4development.info) is currently the main knowledge management tool for DFID Research alongside DFID's website (www.dfid.gov.uk).
8. DFID will set up independent mid-term review (MTR) processes for each of its research programmes.
9. DFID will circulate case studies and other research outputs within DFID and bring them to the attention of Ministers and other policy players.
10. DFID will post information about DFID funded research programmes on the DFID Research for Development website - www.research4development.info.
11. DFID will include research results in DFID publications where-ever possible and use robust evidence from research in DFID decision making.
12. DFID Research will be the first point of contact with DFID for RPCs. DFID research managers and advisers will facilitate contact with other DFID and HMG staff.

Department for International Development Leading the British government's fight against world poverty.

One in six people in the world today, over 1 billion people, live in poverty on less than one dollar a day. In an increasingly interdependent world, many problems – like conflict, crime, pollution and diseases such as HIV and AIDS – are caused or made worse by poverty. DFID supports long-term programmes to help tackle the underlying causes of poverty. DFID also responds to emergencies, both natural and man-made.

DFID's work forms part of a global promise to:

- halve the number of people living in extreme poverty and hunger
- ensure that all children receive primary education
- promote sexual equality and give women a stronger voice
- reduce child death rates
- improve the health of mothers
- combat HIV and AIDS, malaria and other diseases
- make sure the environment is protected
- build a global partnership for those working in development.

Together, these form the United Nations' eight 'Millennium Development Goals', with a 2015 deadline. Each of these Goals has its own, measurable, targets. DFID works in partnership with governments, civil society, the private sector and others. It also works with multilateral institutions, including the World Bank, United Nations agencies and the European Commission. DFID works directly in over 150 countries worldwide, with a budget of £5.3 billion in 2007/08.

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