Cradle to grave

A research and programme management toolkit

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ReMPro Africa is a programme of the Alliance for Accelerating Excellence in Science in Africa (AESA) platform. AESA is a funding, agenda-setting and programme management initiative of the African Academy of Sciences (AAS), the African Union Development Agency (AUDA-NEPAD), founding and funding global partners, and through a resolution of the summit of African Union Heads of Governments. ReMPro Africa is implemented through the Alliance for Accelerating Excellence in Science in Africa (AESA), a funding, agenda setting, programme management initiative of the AAS in partnership with the African Union Development Agency (AUDA-NEPAD) and with the support of Wellcome, United Kingdom Department for International Development (DFID), the Royal Society, UK Research and Innovation (UKRI), and the UK Department of Health and Social Care (UK-DHSC). The views expressed herein are those of the authors and not necessarily those of AESA and her partners.

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Foreword

Dear Colleagues

It is a great pleasure to welcome you to our toolkit that results from **Cradle to Grave: A Research and Programme Management Knowledge-sharing Series** that takes us through the life cycle of a programme.

Research and programme management is not a path we thought our careers would wind up taking us down but here we are - still learning, still navigating and enjoying the journey of what is still unknown to many entering the field.

Our journey started when we submitted an application to the International Research Management Staff Development Programme (IRSMDP) which was an initiative of the African Academy of Sciences and the Association of Research Managers and Administrators, UK. This brought together our team made up of organisations and programmes from South Africa, the UK, Botswana and Zambia and we have benefitted greatly from the advice and guidance of our team facilitator, Dr Alexandra Lewis, Director of Research Strategy at the University of Surrey.

For our Cradle to Grave workshop series, we explored the importance of the pre-award design process and proposal development phase. We then moved to how best to establish reporting frameworks for implementing collaborative research projects focusing on key challenges and considerations associated with equitable partnerships, financial management, communication and data management. We ended with key considerations when finalising programme implementation and an in-depth discussion on ensuring legacy and accountability to a range of stakeholders.

This toolkit brings together some of the materials covered in the workshop series - and more. Our hope is that it will prove useful to nascent and experienced professionals in the field alike.

Sincerely,

Sashin Harilall & Helen Coskeran

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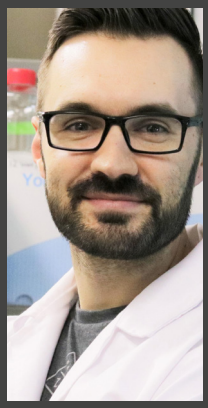

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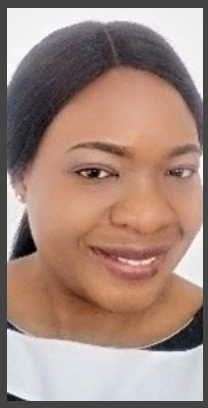

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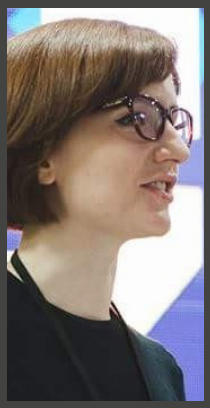

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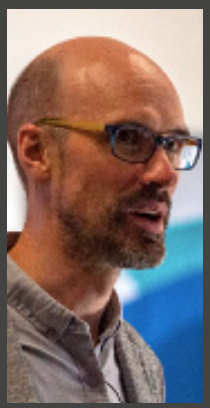

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Workshops

Workshop 1

Our section of the toolkit focuses on the pre-award design process, including: how to prepare academics in advance of bids, preparing the grant application process, project design, building on existing projects and legacy, due diligence and eligibility. This is intended for research development and/or programme/project managers who need to source funding to support a project, build a team in advance of a funding opportunity, or for those who have funding in place and need to support specific aspects of the grant application process.

View the recording **here (https://youtu.be/LMcPsbwBAjY)**

Download the presentation **here (https://bit.ly/33CtNpJ)**

Workshop 2

The Implementation workshop titled: Reporting frameworks to support equitable research partnerships, has three main objectives:

i. Implementing and managing collaborative research projects - Share learning and experience drawing on key principles of equitable partnerships

ii. Integrating reporting systems into management structures - Share learning and experience to support effective project implementation:

   - Principles of equitable partnerships
   - Reporting for ongoing management, accountability and monitoring purposes
   - Financial management
   - Communications and measuring impact
   - Data management

iii. Develop a Toolkit: Based on shared experience and aimed at supporting research managers and support staff to develop their project management skills across all phases of the project lifecycle.

View the recording **here (https://youtu.be/at_L0aYXyeo)**

Download the presentation **here (https://bit.ly/3tHYoww)**

Workshop 3: Closure of a programme

The programme close-out section of the toolkit focuses on the technical aspects of closing out a programme, specifically in relation to contractual and financial procedures and systems. This provides a checklist for all post-award research managers in knowing what they need to ensure it has been completed, and in what order. In addition, we also look at monitoring, evaluation and learning (MEL) tools that can be used to ensure learning and accountability - two important factors that feed into effective programme legacy - before then looking at best practice examples of programme legacy to maximise the impact of programmes.

Technical and Financial Close-Out of a Programme Checklist

At the end of a programme, there are fundamental considerations one has to make sure that the programme comes to a systematic closure in a timely manner.

Whether a research institute or university, one would have an obligation to their respective stakeholders to submit relevant requirements such as reports, certifications, etc.

The necessary closing-out procedures may vary, depending on the policies and terms & conditions of the award of the funder and whether the support was in the form of a grant or contract.

Please see checklist (Template 10).

Monitoring, Evaluation and Learning for Impact & Accountability

M&E for learning tools requires continuous involvement of evaluators and stakeholders in collaborative learning, allowing the programme to adapt to needs and new realities as it goes along. Tool include: theory of change, logframe, MEL framework, baseline surveys.

M&E for accountability commonly focuses on upward accountability to government or the funding agency. Tools include: outcome harvesting tools for policy development and implementation, Researchfish (UK-based outcomes reporting framework and online tool), case studies, reporting and dissemination plans.

Programme Legacy

Determining what programme legacy should be can be a difficult task. Here, a legacy checklist is provided, which can help managers to think about the bounds of their programme legacy, and how to plan for that legacy, in addition to the considerations needed when planning for legacy. We also provide specific legacy and capacity-building tools, that can aid programme managers in maximising the long-term goals of their projects. These include:

- A Partner Institutional Viability Assessment tool
- An individual Skills Matrix Assessment tool

View the recording here (https://youtu.be/gJshOEbYjxQ)

Download the presentation here (https://bit.ly/2SPb88d)

Templates

1. Portfolio Template

This infographic from the University of Leeds provides a visual example of how a research portfolio can be developed and sustained.

FUTURE CLIMATE FOR AFRICA

Africa College – Leeds Transformation Project, **£2M**

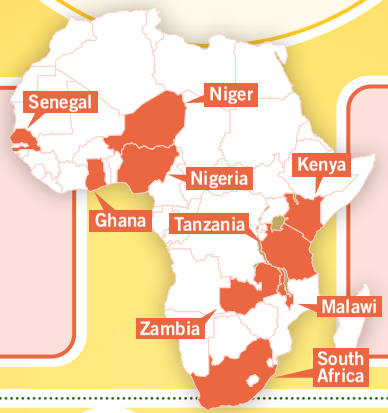
Future Climate for Africa – National Consortium, **£20M**, DfID/NERC

SUSTAINABLE DEVELOPMENT GOALS:

2 ZERO HUNGER

13 CLIMATE ACTION

15 LIFE ON LAND



GCRF African SWIFT, £8M – delivering a step change in African forecasting capability from hourly to seasonal timescales. **Research team:** UK (57), Ghana (20), Kenya (20), Niger (5), Nigeria (16), Senegal (22); **Leeds team:** Earth & Environment (14), ICAS (2), Computing (1), Maths (1)

GCRF AFRICAP, £8M – making agriculture and food production in Sub-Saharan Africa more productive, sustainable and resilient to climate change. **Research team:** UK (38), Malawi (2), South Africa (5), Tanzania (2), Zambia (2); **Leeds team:** Earth & Environment (14), Biology (12), Food Science and Nutrition (4), POLIS (1)

Cheney Fellows

PI: African SWIFT
The African Centre of Meteorological Application for Development (ACMAD)

QR GCRF, £570k

- 2 projects addressing research gaps within the existing portfolio
- 2 projects adding a new disciplinary perspective
- 2 projects translating research into innovation
- 5 PhD studentships

Expanding GCRF portfolio

- Building Leeds-Pretoria partnership
- Building research capacity in SSA
- Conducting gender sensitive research
- Delivering nutrition sensitive interventions

FSNet Africa, £1.9M – led by University of Pretoria, building capacity for food systems research in Africa

BBSRC STARS, £100k – partnering with the University of Pretoria in research training to achieve food and nutrition security in Africa

Climate Information Services, £690k – providing context-relevant advice on Climate Smart Agriculture

GCRF Challenge Clusters, £250k

- Accelerating impact of the portfolio
- Leveraging knowledge
- Delivering new synthesis of research funding

Equitable and just food systems in Africa

Biocontrol of crop pests for food secure futures in Africa

Research teams: representing 8 GCRF projects – 3 Hubs, 2 Grow programmes, across 8 African countries, 4 Professors & 15 Doctors

Cheney Fellows

CoI: AFRICAP
Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN)

GCRF ACMAD FANRPAN Food, Agriculture and Natural Resources Policy Analysis Network Met Office UNIVERSITEIT VAN PRETORIA UNIVERSITY OF PRETORIA YUNIBESITHI YA PRETORIA UNIVERSITY OF LEEDS

2. Bid Development Checklist

This pre-award checklist was designed for use by academics at the University of Leeds, and is tailored to applications to the UK's Global Challenges Research Fund (GCRF). It highlights recurring issues that can hinder the grant application process, and ensures effective coordination across support teams. It can be adapted to different funding calls and institutional requirements.

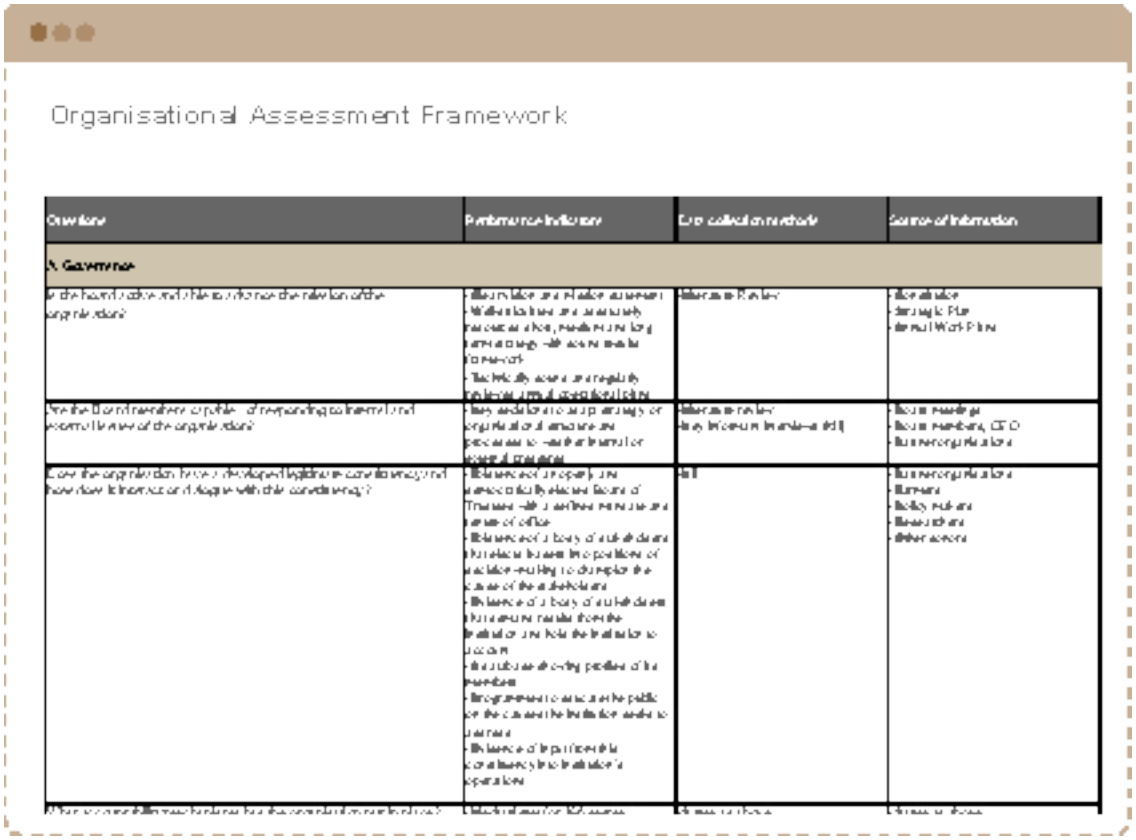
Call title		
Deadline/s		
Item	**Action**	**Status**
Je-S	Set up proposal on Je-S	
	Register overseas co-investigators	
	Collect CVs/publications lists	
	Collect letters of support (if required); check who needs to sign these e.g. HoS or DVC R&I?	
	Inform FRIO of intention to submit	
Internal peer review	Check if this applies to your Faculty. If required, ensure there is enough time to complete this before the funder deadline.	
Case for support	Complete with input from all collaborators and a 'critical friend' e.g. RIDM/RIS colleague.	
ODA compliance	See internal guidelines	
Equality, Diversity & Inclusion (EDI)	Check funder guidelines and speak to your RIDM/RIS contact	
Safeguarding	Reference internal guidelines on safeguarding for international research: here	
Ethics	If information is needed at the application stage, you can use the boiler-plate text available on the RIS website	
Justification of resources	Complete and have this sense-checked by the FRIO and your RIDM/RIS contact.	
Data management plan	See advice on the library web pages	

Acronym key:
FRIO = Faculty Research and Innovation Office
RIDM = Research and Innovation Development Manager
RIS = Research and Innovation Service
HoS = Head of School
DVC R&I = Deputy Vice-Chancellor: Research and Innovation

3. Partner Institutional Viability Assessment

This tool was developed for use by the Food, Agriculture and Natural Resources Policy Analysis Network (FANRPAN) in assessing the organisational capacity of new node organisations.

It provides a framework and tool for assessing organisational capacity over time in six key areas: Governance and Leadership; Operations and Management Systems; Human Resource Development; Financial Management systems; Programmes and Service Delivery; and External Relations and Advocacy.



Organisational Assessment Framework

Overview	Performance Indicators	Data collection methods	Source of Information
A. Governance			
[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]
[illegible]	[illegible]	[illegible]	[illegible]

Partner Institutional Viability Assessment (PIVA): Tool overview

The Partner Institutional Viability Assessment (PIVA) is carried out to:

- Establish baseline organisational capacity
- Plan/set targets on capacity strengthening
- Periodically assess organisational development (M&E)

In doing the assessment, an organisation is reviewed on 6 broad competency areas, namely:

- Governance and Leadership
- Operations and Management Systems
- Human Resource Development
- Financial Management systems
- Programmes and Service Delivery
- External Relations and Advocacy

From these 6 broad competency areas, the assessment looks at 116 sub-areas of competency, on the basis of which a score between 1 and 4 is given depending on the status of the organisation. The scores rate if an organisation is:

- Nascent (1)
- Emerging (2)
- Consolidating (3)
- Viable (4)

The maximum score an organisation is able to achieve is 464.

Download the example document **here (https://bit.ly/3eUZjpo)**

Note: The PIVA tool was developed by the Regional Economic Development Support Office for East and Southern Africa to support the Integrated Strategic Plan (ISP) 2001-2005 with funding provided by the United States President's Emergency Plan for AIDS Relief (PEPFAR) and the United States Agency for International Development (USAID) under Cooperative Agreement AID-623-A-11-00029.

4. Skills Framework

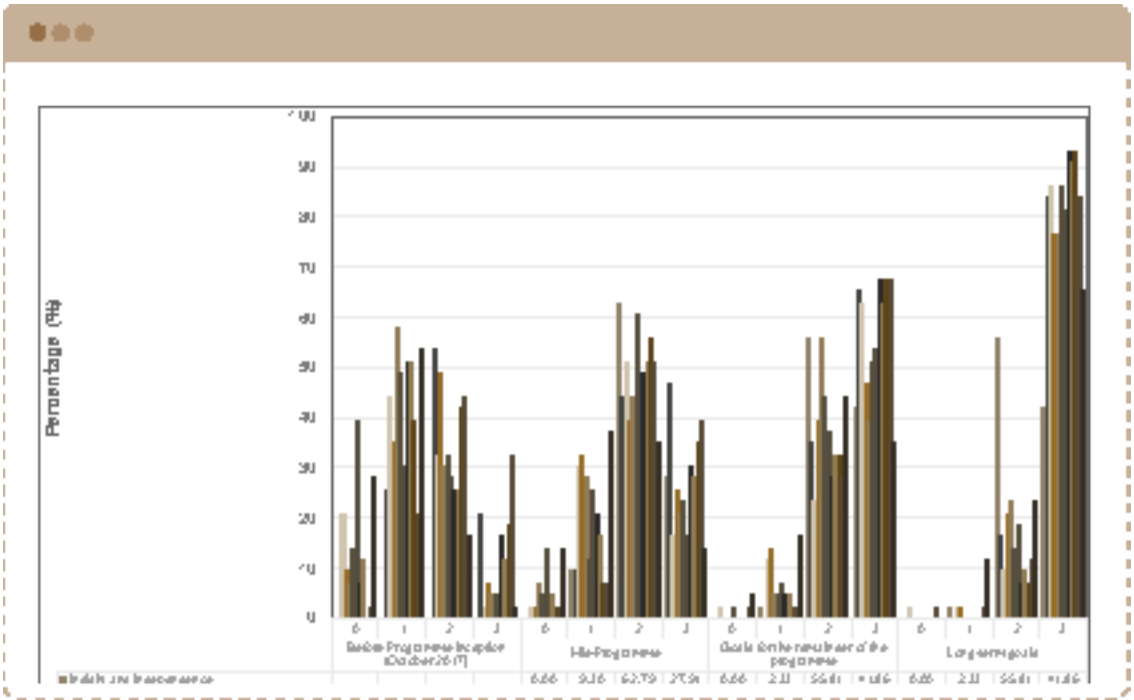
This tool was developed for the GCRF African SWIFT programme to track the personal skills of everyone on the programme as they developed. As part of the programme, we enhanced the capabilities of individuals, groups and institutions, for instance in turning knowledge into practice, or in enhancing the capabilities of research to support teaching, etc.

The aims of this skills framework are:

1. To monitor the success of the projects, in supporting the increase of skills (capability) among the body of staff working on the project.

2. To enable individuals to plan their own personal development. The Skills Framework can be used institutionally in staff review processes, for instance.

Download the spreadsheet **here** **(https://bit.ly/3biNlnp)**



5. Monitoring, Evaluation and Learning (MEL) Framework

This tool was developed for the GCRF AFRICAP and African SWIFT programmes and incorporates a range of templates for monitoring progress and evaluating impact within a project. This includes a theory of change; logframe; MEL plan; and an appendix where data collection tools can be centrally collated.

Download the spreadsheet here (https://bit.ly/3hnqWJp)

NERC/UKRI GCRF Grow	PROJECT NAME		Organisation	LEAD ORGANISATION		
Grant Ref	INSERT		LogFrame Date/Version	VERSION NUMBER		
IMPACT	Impact Indicator 1		Baseline	Milestone 1 (INSERT DATE)	Milestone 2 (INSERT DATE)	Milestone 3 (INSERT DATE)
	How will you measure this change? Ensure you have a mix of qualitative and quantitative indicators.	Planned	*What is the situation at project launch?*	*What do you hope to achieve by this date?*	*What do you hope to achieve by this date?*	*What do you hope to achieve by this date?*
		Achieved		*What did you actually achieve by this date?*	*What did you actually achieve by this date?*	*What did you actually achieve by this date?*
			Source			
Copy from theory of change			*Where will you get the evidence to show achievement against your indicator?*			
	Impact Indicator 2		Baseline	Milestone 1 (INSERT DATE)	Milestone 2 (INSERT DATE)	Milestone 3 (INSERT DATE)
		Planned				
		Achieved				
			Source			

OUTCOME	Outcome Indicator 1		Baseline	Milestone 1 (INSERT DATE)	Milestone 2 (INSERT DATE)	Milestone 3 (INSERT DATE)
		Planned				
		Achieved				
			Source			
	Outcome Indicator 2		Baseline	Milestone 1 (INSERT DATE)	Milestone 2 (INSERT DATE)	Milestone 3 (INSERT DATE)
		Planned				
		Achieved				
Copy from theory of change			Source			
	Outcome Indicator 3		Baseline	Milestone 1	Milestone 2	Milestone 3

6. Activity Trackers

This spreadsheet was developed for the GCRF AFRICAP programme and includes a range of templates for tracking activities during programme implementation such as academic publications; capacity-strengthening; and external communications. It also includes a suggested template for regular partner reporting within a consortium.

Download the spreadsheet **here** (https://bit.ly/3bjLqyQ)

[Insert Partner Name] Quarterly Reporting Template

Organisation:	
Quarter:	
Date of the report	
Signed by	
Approved by	

No.	Activity	Outputs / milestones	Targets	Achieved	Comments	Portfolio of Evidence
1.	Staffing and Staff Capacity Building					
2	Governance and Management					
3	Research					
4	Policy Advocacy Engagement					

7. Communications Tracker

This tracker was developed by the Drugs & (dis)order project to systematically track and monitor outputs and external engagements within the project. It also provides a central repository for tracking online analytics.

Download the spreadsheet here (https://bit.ly/3fiDYVO)

WEBSITE	Jan-YEAR	Feb-YEAR	Mar-YEAR	Apr-YEAR	May-YEAR	J
Website users						
New users						
Sessions						
Average session duration						
Bounce rate %						
Unique page views						
Average time spent						
Downloads (PDF) not unique						
Top page 1						
Top page 2						
Top page 3						
Top page 4						
Top page 5						
Top page 6						
Demographic						
Bonus						

	WordPresss Annual Analytics Report YEAR 1	WordPresss Annual Analytics Report YEAR 2
Total visitors		
Total sessions		
Best month for visitors: August		
visitors from how many countries		
Avergae time spent on site		
Most popular pages		
Device type		
Top 5 referrals		

8. Ethics and Security Questionnaire: Needs Assessment / Gap Analysis

This questionnaire covers questions under the major areas of ethics and security risks. The example shown on the following pages was developed and used within the Drugs and (dis)order project.

By collecting detailed information in relation to these questions, the Ethics and Security Panel will be able to develop a thorough needs assessment/gap analysis to inform planning, implementation of new processes or suggest amendments of pre-existing ones, and develop capacity building training that is tailored to the needs of local partners.

The **Overarching Questions**-section asks organisations to reflect on general ethical, safety, and security concerns in the collection, retention, analysis, and dissemination of research findings. This will allow organisations through their own words and experiences to reflect on issues they face in the implementation of the research project. Moreover, questions are posed with specific regards to minimising harm and distress to research participants, mitigation strategies, and issues surrounding dissemination of findings. It is important these issues are reflected on and highlighted at the beginning of the project, since addressing these issues at this stage is much preferable to realising at a later one that the dissemination of findings may place certain populations at risk.

The **Ethical Procedures and Stakeholders**-section asks organisations to provide information on pre-existing ethical reporting and review procedures that may be in place. This is important so that we do not burden organisations that may have rigorous procedures in place to duplicate their efforts in reviewing ethics procedures.

The **Informed Consent**-section covers the issue of informed consent specifically, as this is of key concern to the project in order to fulfil the requirements and regulations governing research in the UK and beyond. Informed Consent is particularly important when dealing with vulnerable communities who may not necessarily understand their rights when participating in an international research project. Thus, the Panel will seek to ensure that all project information and informed consent procedures are tailored to the vulnerabilities and needs of local populations – that project information is explained in easily accessible language orally in communities where large proportions are illiterate for example.

The **Data Management/Ethics**-section covers some questions where data management intersect with ethics.

The **Insurance**-section covers questions related to insurance of our local organisations.

And finally, the **Safety/Security**-section covers issues divided into **First Aid, Risk Assessment, Research Participants,** and **Field Research**. These areas will enable the Panel to identify and build a broad baseline of issues related to carrying out activities. The Risk Assessment will familiarise the organisations with risk assessment tools that they can adopt and ultimately use in their other operations. Research Participants- and Field Research-questions further give the opportunity to pinpoint issues of particular importance when field researchers are carrying out their daily activities.

1. Overarching Questions

Q#	Question	Answer
1	What general ethical, safety, and security concerns have been taken into account with regards to the preparation and design of the research project, focusing on **data collection, retention, and analysis**? Please provide some details.	
2A	What challenges do you face in terms of minimising harm and distress to research participants? Please provide some details.	
2B	What mitigation strategies are in place for these challenges? Please provide some details.	
3A	What issues do you foresee in terms of the dissemination of research findings? Please provide some details.	
3B	Does the dissemination of data potentially put your organisation (including researchers or field enumerators) at risk? Yes/No/Uncertain Please provide some details.	
3C	Does the dissemination of data/ research findings potentially put research participants or interlocutors at risk? Yes/No/Uncertain Please provide some details.	

Q#	Question	Answer
4	Are other people who are not research participants likely to be directly impacted by the project? Are there any risks related to this? Yes/No/Uncertain Please provide some details.	
5	What mitigation strategies should the project adopt in order to reduce the risk of unintended adverse consequences from the dissemination of research findings? Please provide some details in case you have such measures in place already, or thoughts/ideas for mitigating against unintended consequences from the dissemination of research findings.	
6	Are there any outstanding issues or information related to Overarching Questions that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

2. Ethical Procedures and Stakeholders

Q#	Question	Answer
1A	Who are the key stakeholders in negotiating access/obtaining approvals or permissions for research activities? Please provide some details N.B. there is no need to give exact names or details of stakeholders/gatekeepers that should remain anonymous, this question aims to give a sense of the complexity of gaining access/approval to conduct research in your local context.	
1B	Who are the key stakeholders in negotiating access/obtaining approvals or permissions (if different from above)? Please provide some details.	
2A	Does your organisation obtain ethical approval for your projects? Yes/No/Uncertain If Yes, please provide some details.	

Q#	Question	Answer
2B	Is there a legal requirement for your organisation to have its projects approved by central/ government institutions (e.g. government ministries, non-state armed groups for certain areas)? Yes/No/Uncertain	
2C	If applicable, who grants such approvals? Please provide some details.	
3	Have you obtained ethical approvals [for this research]? Yes/No Please provide some details (and if Yes, from whom?).	
4A	Do you require permission from local communities to conduct fieldwork? Yes/No/Not Certain Please provide some details.	
4B	If applicable, have you sought such approvals? Yes/No If Yes, please provide some details.	
5	Have you faced any issues in obtaining local approvals or in negotiating access to research sites [for this research]? Yes/No/Uncertain Please provide some details.	
6A	Would your organisation be interested in practical research ethics training? (for yourselves or your researchers/enumerators) Yes/No/Uncertain	
6B	Would your organisation be interested in exploring more formalised ethical review procedures moving forward? (unless such already exist in your organisation) Yes/No/Uncertain/Not Applicable	
7	Are there any outstanding issues or information related to Ethical Procedures and Stakeholders that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

3. Informed Consent

Q#	Question	Answer
1A	Has information (written or oral) about the study been prepared in an appropriate form and language for potential research participants? Yes/No Please give some details as to what information these documents contain (related to the informed consent process at the beginning of this document). If No, please explain why this is not appropriate in your circumstances.	
1B	At what point in the study will this information be offered to participants? Please provide details E.g. prior to interviews, during interviews.	
2	Do you pursue a type of 'informed consent' in any of your research projects? Yes/No/Uncertain If Yes, please provide some details If No, please explain the reasoning behind this (e.g. sensitivity of the studies).	
3A	Do you currently record consent in any of your projects? Yes/No If Yes, how do you record consent? (e.g. audio-recorded, signature of research participant, verbal agreement) If No, what issues have you faced in recording consent?.	
3B	Are you able to record consent? Yes/No/Uncertain If Yes, please explain how this will be recorded. If No, please give details of the challenges with recording consent.	
4A	Would it be possible to follow the informed consent process (as per 1A & 1B at the beginning of this document) for this research? Does this translate into your local context? Yes/No/Uncertain Please provide some details.	

Q#	Question	Answer
4B	What are the main issues you would face in following a consent process (as per 1A & 1B at the beginning of this document)? Please provide some details E.g. local communities may not understand what 'research', 'confidentiality' or 'anonymity' means – or does not translate appropriately to local context.	
5A	Are your research participants offered any monetary or other rewards based on their participation in the study? Yes/No If Yes, please give details (e.g. is it customary to bring certain gifts when interviewing people in their homes).	
5B	Are research participants appropriately reimbursed in case they incur any costs as part of their participation? Yes/No If Yes, what costs are covered?	
6A	Will potential participants be clearly informed that no adverse consequences will follow a decision not to participate or to withdraw during the study? Yes/No/Uncertain If No, please explain why.	
6B	Are you able to give research participants the possibility to withdraw from the study? Yes/No/Uncertain If No, please explain why (e.g. data is anonymised at the point of collection, and no personal details of participant is retained that could identify them if they wished to withdraw).	
6C	Are you able to notify participants of any potential adverse consequences from participating in the study? Yes/No/Uncertain If No, please explain why (e.g. the risks are negligible, but if told we would be unable to recruit research participants).	

Q#	Question	Answer
7	How do you ensure research participant confidentiality and anonymity at the point of data collection? Please provide some details if applicable.	
8A	Have any provisions been made to respond to queries and problems raised by participants during the course of the study? Yes/No E.g. a designated person at HQ who can respond to GCRF-related queries from research participants, their wider communities, or state actors.	
8B	Are you able to provide research participants with details of a point of contact at your organisation, in case they wish to withdraw, have concerns about the study, or due to illnesses or injuries related to the research? Yes/No/Uncertain If Yes, what details are provided? (e.g. phone number of local/national office) If No, please explain why (e.g. providing such details would place participant and/or our organisation at risk).	
9	Will you discuss with research participants whether they would agree to anonymised data being archived and reused in future? Yes/No/Uncertain This can for example be discussed after an interview has taken place; you can also offer participants the opportunity to first review the anonymised interview.	
10	Are there any outstanding issues or information related to Informed Consent that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

4. Data Management / Ethics

Q#	Question	Answer
1	How have the ethical and legal dimensions of the process of collecting, analysing and storing the data been addressed? Please provide some details E.g. protecting privacy and ensuring anonymity of participants and researchers.	
2A	Have you ever been asked by state or non-state actors to hand over sensitive information related to your research projects, participants, interlocutors, etc.? Yes/No/Uncertain If Yes, please provide some details.	
2B	Do you foresee such an issue arising with this research? Yes/No/Uncertain If such an issue arises, what mitigation strategies are/could be put in place?	
2C	If Yes, how will you ensure that the confidentiality and anonymity of your research participants, interlocutors, project members, etc. are protected? Please provide some details.	
3	Which procedures are in place to safely and securely hold collected data that may reveal the identity of research participants during fieldwork? Please provide some details. E.g. password protected devices, only capture anonymous data, etc.	
4	Which procedures are in place to transfer data that may reveal the identity of research participants safely and securely from field to office? Please provide some details.	
5	Are there any outstanding issues or information related to Data Management and Ethics that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

5. Insurance

Q#	Question	Answer
1A	Does your organisation have comprehensive insurance plans in case of medical or other emergencies? Yes/No/Uncertain If Yes, please provide some details.	
1B	What does this insurance plan cover? (e.g. medical evacuation due to; injury from (non)targeted attacks, road-traffic-collisions, illness) Please provide some details. This list does not need to be exhaustive, but rather indicative of whether the insurance plan covers the main safety and security risks posed by this research.	
1C	Does this insurance cover your researchers/enumerators? Yes/No/Uncertain Please provide some details.	
1D	Does this insurance cover your research participants in case of medical emergency stemming from participating in the research project? Yes/No/Uncertain E.g. in case a road traffic collision occurs with the research participant in the vehicle owned/rented by the organisation.	
2	What safety or security risks does this research pose to your organisation (including enumerators or researchers) that are not covered by your insurance plan? Please provide some details if applicable.	
3	If your organisation does not have an insurance plan that covers the main safety and security risks associated with this research, would you like to explore opportunities for obtaining such insurance? Yes/No/Uncertain	
5	Are there any outstanding issues or information related to Insurance that you would like to raise to the Ethics and Security Panel? Please provide some details if applicable.	

6. Safety / Security

First aid

Q#	Question	Answer
1	Do you provide first aid training in your organisation? Yes/No Please provide some details.	
2	Do your researchers/ enumerators undergo first aid training? Yes/No Please provide some details (e.g. when was first aid training last undertaken).	
3	If applicable, would you be interested in providing first aid training to your staff (including researchers/enumerators? Yes/No/Uncertain Please provide some details.	
4	Are there any outstanding issues or information related to First Aid that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

Risk Assessment

Q#	Question	Answer
5	Does your organisation undertake formal risk assessments for your projects? Yes/No If Yes, please provide some details.	
6	Does this research pose any specific safety or security challenges beyond ones your organisation usually faces? Yes/No/Uncertain If Yes, please provide some details.	
7A	Has a formal risk assessment been undertaken for this research? Yes/No/Uncertain If Yes, could you please share this?.	
7B	If Yes (7A), how frequently is the risk assessment reviewed/ re-assessed? Please provide some details.	

Q#	Question	Answer
8	Do you have an internal/external board that reviews your projects based on safety and security-related challenges? Yes/No Please provide some details.	
9	Would your organisation be interested in building capacity in the area of risk assessments and in undertaking, with assistance, a formal risk assessment for this research? Yes/No/Uncertain If Yes, please provide some details.	
10	Does your organisation have emergency procedures/ contingency plans in place for a range of hazards/threats that may affect your organisation? Yes/No/Uncertain Please provide some details (e.g. contingency plans exist in case of violent attacks targeting members of the organisation).	
11	Does your organisation have emergency procedures/ contingency plans in place for a range of hazards/threats that may affect researchers/enumerators? Yes/No/Uncertain Please provide some details (e.g. contingency plans exist in case of road traffic collisions affecting researchers or enumerators, or plans exist in case of state or non-state group detention of researchers).	
12	Are there any outstanding issues or information related to Risk Assessments that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

Research Participants

Q#	Question	Answer
13	What are the specific risks to research participants or third parties? Please provide some details.	
14	If the research involves pain, stress, physical or emotional risk, have you taken steps to minimise such risks? Yes/No Please provide some details.	
15	Do you have procedures in place to mitigate for and/or handling (re)traumatisation of research participants? Yes/No/Uncertain Please provide some details.	
16	Do you have a network of third parties where you can refer research participants in case of traumatisation? Yes/No/Uncertain Please provide some details.	
17	Will the results of the study be offered to research participants or other affected parties who wish to receive them? Yes/No/Uncertain Please provide some details.	
18	If so, have you identified steps to minimise any discomfort or misrepresentation that may result at the dissemination stage? Yes/No/Uncertain If Yes, please provide some details.	
19	Are there any outstanding issues or information related to Research Participants that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

Field Research

Q#	Question	Answer
20	Do you have any doubts or concerns regarding your (or your colleagues') physical or psychological wellbeing during the research period? Yes/No/Uncertain Please provide some details.	
21	What safety/security risks do your field researchers/ enumerators or interlocutors face as part of this research? Please provide some details.	
22	What is the availability of medical facilities in areas where your researchers/enumerators will be collecting data? Please provide some details.	
23	What are the main safety/ security-risks in the area which your researchers/enumerators will be operating? Please provide some details.	
24	Do you have systems in place for incident reporting? Yes/No/Uncertain Please provide some details.	
25A	Do you require any specialist equipment for safety/security during the fieldwork phase? (e.g. long-wave radios, satellite phones). Yes/No/Uncertain Please provide some details.	
25B	Do you currently possess such equipment? Yes/No/Uncertain Please provide some details.	
26	Are there any outstanding issues or information related to the Field Research that you would like to raise to the Ethics and Security Panel? If applicable, please provide some details.	

9. Data Sharing Protocol

This protocol was developed for the Drugs & (dis)order project by the data manager to facilitate secure processes for sharing data across the team.

"Sharing sensitive research data on drugs, conflicts and illicit activities across the partnership is challenging, and non-secure handling of the data may put research participants and researchers at risk. Thanks to secure systems that work for all partners, also those with basic infrastructure, practical data management guidelines and clear agreements between partners, we can achieve equitable and secure sharing of data that works for all."

Veerle Van den Eynden
Research Data Manager

University of London SOAS, London, UK

Data Sharing Protocol

between the partner institutions of the GCRF drugs and (dis)order project

May 2019

The aim of this protocol is to define how research data will be shared between partners of the GCRF drugs and (dis)order project, to support the research, capacity-building and policy engagement objectives of the project. It outlines the responsibilities of each partner and the methods for secure management, accessing and use of that data. It applies to research data produced as part of the project , as well as to research data produced by a partner as part of another project, if the partner wishes to share those within this project.

Time period: October 2017 – December 2021

People: only those people listed as participating in the project

Project partners who wish to make research data available to other project partners will:

- make the data available only via the secure data workspaces on Glasscubes (https://soas.glasscubes.com);
- make sure to remove direct identifiers (names, contact details, organization names) from the data files before upload to Glasscubes, unless explicit permission (consent) has been given by the data subject to reveal such identifying information;
- name the institution(s) or individual(s) that created the dataset and would be considered as authors (this can also be listed in the project DMP managed by Veerle Van den Eynden), to assert the IPR / copyright of the dataset.

The research data are made available under a Creative Commons Attribution-ShareAlike 4.0 International License.

The following conditions apply to the use of the research data by people other than the data creators:

- To use the data files for research, training and policy engagement purposes only;
- Not to use the data files for any purposes that do not form part of the project objectives;
- Not to further distribute the data files beyond the project partnership;
- Not to retain the data files beyond the end date of the project (December 2021), unless permission is has been given by the data creator(s);
- To store and use the data files in a secure way on an encrypted and password / passphrase protected PC or laptop;
- To preserve at all times the confidentiality of information pertaining to individuals, households or organisations in the data files, where information is not in the public domain;
- To gain permission from the data creator(s) before use of the data in any publication or other research output;
- To acknowledge in any publication or research outputs, whether printed, electronic or broadcast, based in whole or in part on the data, the original data creator(s) and the GCRF drugs and (dis)order project;
- To offer co-authorship to the data creator(s) where original data are analysed or used in a significant portion;
- Derived data, publications and research outputs resulting from use of data files will have joined IP / copyright between the data creator(s) and the data user(s).

10. Outcome Harvesting Template

This tool was adapted from Oxfam materials for the GCRF AFRICAP team. It allows projects with a policy influencing objective to track change over time instead of evaluating all impact at project end or post-programme completion.

Note: Adapted from K Biesbrouck (2019), 'Outcome harvesting: Oxfam Novib's Right to Food program using a content analysis of its outcome statements to influence Food Systems' presented at Monitoring and Evaluating for Inclusive and Sustainable Food Systems Conference, Wageningen Center for Development Innovation, 3-4 April 2019.

1. Outcome Title

In one sentence, summarise the change in the stakeholder E.g. (activities aimed at) changes in policy (or its implementation), expressions of increased political will When did the stakeholder change + who is the stakeholder + what was specifically done differently + where did the change take place = outcome title.

2. Outcome Description

Please provide more details on the change that happened, who changed, when and where: Give additional detail so AFRICAP outsiders can understand the change in the stakeholder.

3. Relevance

Why is this change relevant in light of AFRICAP's theory of change? Explain the significance of the outcome in view of AFRICAP's objectives and context.

4. Contribution

How did your work under the auspices of AFRICAP contribute to this outcome? What main factors contributed; how did AFRICAP plausibly contribute to the outcome (directly or indirectly); what specific activities/outputs did your organisation contribute; when did this contribution take place? The change may be positive or negative / planned or unexpected.

5. Evidence

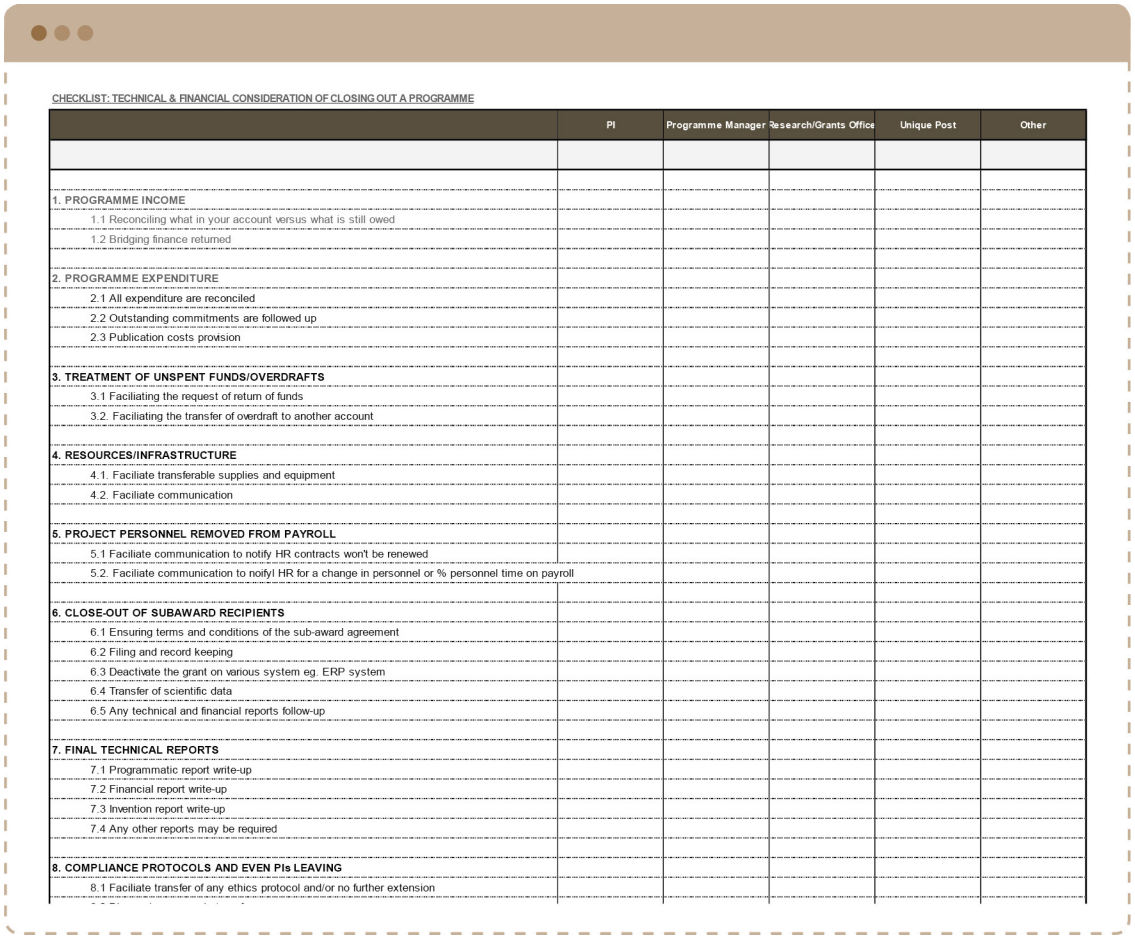
List the most relevant material that can be used to verify the outcome statement E.g. aide-mémoire from stakeholder meeting, quote from email, interview, survey results.


DETERMINE GOALS AND OBJECTIVES
PROJECT LOGO
PLAN
SYSTEM PROCEDURE
content
VISUAL DESIGN
IDEAS
WEB DESIGN

11. Close-out Checklist

At the end of a programme, there are fundamental considerations one has to go through in order to make sure that the programme comes to a systematic closure in a timely manner. This checklist will take a research manager through the journey of items to consider and assigning key actors to each task.

Download the spreadsheet **here** (https://bit.ly/3uNt94S)



CHECKLIST: TECHNICAL & FINANCIAL CONSIDERATION OF CLOSING OUT A PROGRAMME

	PI	Programme Manager	Research/Grants Office	Unique Post	Other
1. PROGRAMME INCOME					
1.1 Reconciling what in your account versus what is still owed					
1.2 Bridging finance returned					
2. PROGRAMME EXPENDITURE					
2.1 All expenditure are reconciled					
2.2 Outstanding commitments are followed up					
2.3 Publication costs provision					
3. TREATMENT OF UNSPENT FUNDS/OVERDRAFTS					
3.1 Faciliating the request of return of funds					
3.2. Faciliating the transfer of overdraft to another account					
4. RESOURCES/INFRASTRUCTURE					
4.1. Faciliate transferable supplies and equipment					
4.2. Faciliate communication					
5. PROJECT PERSONNEL REMOVED FROM PAYROLL					
5.1 Faciliate communication to notify HR contracts won't be renewed					
5.2. Faciliate communication to noitfyl HR for a change in personnel or % personnel time on payroll					
6. CLOSE-OUT OF SUBAWARD RECIPIENTS					
6.1 Ensuring terms and conditions of the sub-award agreement					
6.2 Filing and record keeping					
6.3 Deactivate the grant on various system eg. ERP system					
6.4 Transfer of scientific data					
6.5 Any technical and financial reports follow-up					
7. FINAL TECHNICAL REPORTS					
7.1 Programmatic report write-up					
7.2 Financial report write-up					
7.3 Invention report write-up					
7.4 Any other reports may be required					
8. COMPLIANCE PROTOCOLS AND EVEN PIs LEAVING					
8.1 Faciliate transfer of any ethics protocol and/or no further extension					

12. Programme Legacy Checklist

These checklists cover key considerations around both determining what your programme legacy should and can be, and how to plan for the legacy and ultimately, maximise impact.

Determining Programme Legacy – a Checklist

- [ ] Check Collaboration Agreement - conditions usually set by Lead Organisation (& agreed upon by consortium)
- [ ] An ethical issue - what you planned to do, what can you do, what should you do - responsibility, integrity, authenticity
- [ ] Expanding and evolving area - impact in research has become focus area in recent years for both securing research, and there is more and more emphasis on demonstrating impact
- [ ] At the moment: end of project reports, Researchfish, information to your university for impact tracking long-term (REF)
- [ ] Legacy of PM that's been done, not just research and science (processes & learning)
- [ ] What has been learnt – MEL used for final project evaluation to funder/lead organisation
- [ ] MEL – interventions, learning and evaluations
- [ ] Communications impact - learning
- [ ] Results, models and data - re-used
- [ ] Networks developed - sustained
- [ ] Staff development and skills acquisition
- [ ] Policy changes, governance changes
- [ ] Lessons log, issues log
- [ ] Further funding/projects

Planning for Programme Legacy: Key Considerations

- [ ] Project often ends at close date - no more funding for legacy activities
- [ ] Funds for legacy – underspend and follow-on/seed funding
- [ ] Continuation proposals
- [ ] Ongoing activity after project end - what is needed and desired
- [ ] Who to give the legacy to, who owns legacy? Do they have capacity & capability?
- [ ] Legacy organisations
- [ ] Legacy communications - gearing up for end of project
- [ ] News stories and communication of results – understanding of research
- [ ] Dedicated work package to legacy
- [ ] Legacy of outputs - data and reports, documents
- [ ] Building on existing collaborations
- [ ] Legacy of learning (MEL)

Useful Resources

Please find below some useful external resources by topic area:

Partnerships:

- A Guide for Transboundary Research Partnerships (3rd edition - 2018) 11 Principles and 7 Questions
  https://bit.ly/3ejgaAO

Reporting:

- Oxford Brookes project toolkit
  Includes links to documents and resources at different stages of project cycle (concept, definition, justification, delivery proposals).
  https://bit.ly/3vaWDJo

- British Council Project Management Toolkit
  https://bit.ly/3sC7mLm

- Vitae resources
  https://bit.ly/33v4YvT

- Global research toolkit
  A project dedicated to sharing experiences and best practice in global research environment.
  https://bit.ly/2P6l2AA

- UN Project management toolkit/ templates
  https://bit.ly/3dA692Q

- Imperial Overseas Research Toolkit
  https://bit.ly/2SEROdD

- Oxford International PM toolkit
  https://bit.ly/3n7A7yu

- University of Manchester project management toolkit
  https://bit.ly/3grbpYw

Communications:

- Communications monitoring evaluation and learning toolkit
  https://bit.ly/3eltQuV

- Research Excellence Framework impact toolkit (Module 5)
  https://bit.ly/3hdAHd9

- Hemingway app
  https://hemingwayapp.com/

- Research to Action: Impact logs
  https://bit.ly/3avKHdo

- Google Alerts
  https://www.google.co.za/alerts

Data Management:

- Data management guidance
  https://bit.ly/3uE4f03
- Organising, documenting and managing digital photos
  https://bit.ly/3ekJdUz
  - Security and Ethics Questionnaire
  - Non-disclosure agreement for translators
  - Data sharing agreement between project partners
  - Data Collection & Management
  - REDCap, Labkey, Survey Solutions, Pentaho PDI
  - Data Documentation, Archiving and Sharing
  - Nesstar Publisher, Nada, Sharepoint

Impact Materials Provided by Mark Reed

- Definition of impact
  https://bit.ly/3swXdj6
- The Research Impact Handbook
  https://bit.ly/3dyrZ70
- Methods for planning for impact
  https://bit.ly/3v96sb2
- Impact culture
  https://bit.ly/3v56lx2

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