



Accountable Grant Arrangement

Between

The Government of the United Kingdom of Great Britain and Northern Ireland acting  
through the Department for International Development (“DFID”)

and

**Global Integrity** (“The Partner”)  
together called “the Participants”

**Project Name: Anti-Corruption Evidence Programme**

**Project Number: 203752-**

1. In any correspondence with DFID with regard to this Arrangement, reference must be made to the Project Name and Project Number shown above.

**Provision of grant**

The arrangements and the purpose for which the grant will be used are set out in this Accountable Grant Arrangement and its annexes and the corresponding proposal from Global Integrity, ‘**DFID’s Anti-Corruption Evidence Programme**’ (sent by email on 12 September 2018) and budget, collectively referred to as “this Arrangement”.

2. The project to which this Arrangement relates will start on 1 **October 2018** and end on 31 August 2021 (“Project End Date”) unless terminated earlier. DFID reserves the option to extend the project beyond this projected end date while remaining within the overall budget available. DFID will make available an amount not exceeding **£5.513,254 (five million five hundred and thirteen thousand two hundred and fifty four pounds sterling)**. The amount is expected to be allocated across the following years.

DFID Financial Year	Annual Allocation in £ GBP
Oct 1 2018 - Mar 31 2019 (mobilization cost prior to Oct. permitted)	£ 2,241,495
April 1 2019 - Mar 31 2020	£ 2,608,827
April 1 2020 - Mar 31 2021	£ 458,179



April 1 2021 - August 31 2021	£ 204,753
<b>Total</b>	<b>£ 5,513,254</b>

3. The funding amount is subject to revision and is dependent on the fulfilment of the provisions of this Arrangement, any revisions to budgets, actual expenditure and need and the continuing availability of resources to DFID.

**Status and compliance with the law**

4. The Partner is registered as a not for profit organisation and has the capacity to comply with the provisions set out in this Arrangement. If not previously provided, the Partner must provide evidence of its status to DFID. The Partner must notify DFID immediately if its status changes in any way.

5. The Partner and any person, organisation, company or other third party representative engaged as part of this project ("Downstream Partners") will at all times comply with relevant legislation, regulations and rules both in the UK and locally in the countries in which it is operating. All Partners will comply with their reporting obligations to relevant national and international bodies such as the Charity Commission for England and Wales.

**Prevailing language and amendments**

6. In the event of translation, the English text of this document will prevail.

7. Any amendments to this Arrangement will be set out in writing and approved through DFID's standard amendment letter or, where appropriate, a revised Arrangement.

**Eligible expenditure**

8. The funding amount is to be used solely for costs included as part of the budget agreed with DFID for the delivery of the outputs and outcomes set out in the **logframe, draft to be produced within 3 months of the start date** included as part of this Arrangement.

9. DFID funding will not be used to meet the costs of any other expenditure, in particular (but non-exhaustively) those items in the list below. This list does not override activities which are deemed eligible and explicitly agreed as part of this Arrangement:



- lobbying UK government, i.e. activities which aim to influence or attempt to influence Parliament, UK government or political activity, or UK legislative or regulatory action;
- activities which directly enable one part of government to challenge another on topics unrelated to the agreed purpose of the grant;
- to petition UK Government for additional funding;
- input VAT reclaimable by the grant recipient from HMRC;
- activities which may lead to civil unrest;
- activities which discriminate against any group on the basis of age, gender reassignment, disability, race, colour, ethnicity, sex and sexual orientation, pregnancy and maternity, religion or belief;
- interest payments or service charge payments for finance leases;
- gifts;
- statutory fines, criminal fines or penalties;
- payments for works or activities which the grant recipient, or any member of their Partnership has a statutory duty to undertake, or that are fully funded by other sources;
- activities in breach of EU legislation on State Aid;
- bad debts to related parties;
- payments for unfair dismissal or other compensation;
- to replace or refund any funds lost to fraud, corruption, bribery, theft, terrorist financing or other misuse of funds.

10. DFID Smart Rules provide further details on how aid funds can and cannot be spent. In case of any doubt, the Partner should consult DFID in advance.

11. Additionally, DFID funds will not be used, unless explicitly agreed by DFID in writing in advance, to meet the cost of any import, customs duties or any other taxes or similar charges applied by local Governments or by any local public authority.

### **Disbursement and reporting**

12. The funding amount is agreed as per the Sterling (GBP) value, as at the date of agreement. DFID's preferred currency for disbursements is in GBP. Where it is more efficient to pay in foreign currency, DFID may do so, however, the funding amount will still be that agreed in GBP as at the date of agreement.



13. The Partner is responsible for monitoring and managing any exchange rate fluctuations across the life of the project. Where significant exchange rate gains or losses are being accumulated the Partner should agree with DFID how these are managed.

14. Where costs are incurred in foreign currency the Partner will use the exchange rate stated in OANDA ([www.oanda.com](http://www.oanda.com)) for the date on which the purchase was made or services acquired by the Partner, unless, by exception, explicitly agreed in writing in advance.

15. In line with UK Government financial regulations, DFID will not pay in advance of operational need and justification will be required for any DFID payment prior to partner disbursement. Where a payment in advance is approved and the Partner is holding DFID funds, prior to disbursement, funds should be held in a minimum risk interest bearing account. Any interest accruing from these investments will be re-invested within the project.

16. When requesting payment the Partner should complete *Annex 1, Payment Request Form*. Along with the request the Partner should provide detailed project financial reports that set out in both cash and resource terms actual expenditure to date against the approved project budget and quarterly forecast expenditure for DFID's financial year (1 April-31 March). Where payment in advance has been agreed, a copy of the Partner's justification and DFID's agreement should be included with each payment. In multi-donor arrangements, these reports should clearly segregate the DFID proportion of funding.

17. DFID may, from time to time, request project financial reports for the calendar year in line with Official Development Assistance reporting requirements.

18. Payment will be made to the bank account details provided on the DFID supplier portal. Where payment is to go to a different account from the one already registered, the Partner must set up an additional entry on the portal. It is the Partner's responsibility to ensure that their bank details on the DFID portal remain accurate and the Partner should confirm the details for this Arrangement within the Payment Request Form for each payment.

19. All outstanding claims must be submitted within six months of the Project End Date.

20. Where it is found that any overpayment or erroneous payment has been made by DFID, the Partner shall reimburse DFID the additional or erroneous amount within 14 days of receiving a Sales Invoice.



21. The Partner will provide DFID with **quarterly** progress reports on the execution of this Arrangement that describe performance against indicators contained in the **logframe** and, where possible, the associated receipt and utilisation of the resources used to deliver these. Continuation of this Arrangement after year one will be dependent upon satisfactory progress and value for money being achieved each previous year.

22. DFID funds must be separately accounted for by the Partner and therefore readily identifiable at all times unless explicitly agreed otherwise and in writing by DFID.

23. As part of the regular reporting requirements outlined above, the Partner will provide a proportionate and meaningful assessment of how the project is contributing to reducing gender inequality including a specific assessment on progress against any gender related commitments made as part of this Arrangement.

24. The Partner will immediately notify DFID of any delay, obstruction or event which interferes with or threatens to interfere with this Arrangement. This includes any delay, obstruction or event which damages or is capable of damaging the reputation or integrity of DFID or that of the project.

25. The Partner will seek to ensure that beneficiary feedback is integrated at appropriate stages in project design, mobilisation, delivery, monitoring, evaluation and annual review processes and takes account of the voices of both women and men. The Partner should work with, through and represent the diversity of communities in order to respond to their needs more effectively and strengthen accountability.

### **Due diligence**

26. In utilising the resources, the Partner will exercise the same care in the discharge of its functions under this Arrangement as it exercises with respect to the administration and management of its own resources and affairs. The Partner will co-operate fully with any due diligence assessment by DFID or its agents, of the Partner's own internal controls and system prior to or during the implementation of this Arrangement and take appropriate action on any recommendations arising. Due diligence assessments may be conducted every 3 years or earlier if there is a significant change to the Partner's procedures and controls or operating environment. A range of tools may be used to conduct the assessment and continuation of this Arrangement will be dependent on the DFID being satisfied that the Partner has sufficient capacity and capability to deliver the project and manage DFID funds.



27. The Partner will undertake suitable due diligence and take the necessary steps prior to transferring DFID funds and at regular intervals throughout the implementation to assess the internal controls and systems of any Downstream Partners. These assessments will be shared with DFID, upon request and should determine, relative to project risk:

- the reliability, integrity and efficiency of the Downstream Partners' controls, systems and processes including compliance with relevant legislation, regulations, rules, policies and procedures;
- whether the Downstream Partner can successfully deliver the relevant outputs based on its processes, past experience and whether they have the sufficient staff capacity and capability available;
- the Downstream Partners' ability to correctly manage and account for aid monies and assets as well as its financial health; and
- where appropriate, whether the Downstream Partner has sufficient capacity and capability to properly monitor and control their implementing partners.

### **Delivery chain mapping**

28. The Partner will maintain an up to date and accurate record of Downstream Partners in receipt of DFID funds and/or DFID funded inventory or assets. This delivery risk map should demonstrate how funds flow from the initial source to end beneficiaries, and the risks and potential risks along the chain.

29. The delivery chain risk map should be updated regularly by the Partner and when there are material changes to the project risk assessment and/or to delivery partners in the chain. As a minimum the Partner will provide DFID with an updated delivery risk map at the following intervals:

- within 180 days of the commencement of this Arrangement;
- annually, as part of the annual review Process; and
- at the end of the project, as part of the project completion review process

### **Audit and assurance**

30. The Partner will within six months of the end of their financial year provide DFID with independent assurance that DFID funds have been used for the intended purposes. This includes for all financial years in which they receive and/or spend DFID funds under this Arrangement even where the end of the financial year is beyond the life of this Arrangement. The Partner will provide annual accounts audited by an independent and appropriately qualified auditor where DFID project funding is clearly segregated from other funds.



31. DFID may at any time during, and up to five years after the end of, this Arrangement, conduct additional audits or ascertain additional information where DFID considers it necessary. DFID or its agents will be granted access, as required, to all project sites and relevant records. The Partner will ensure that necessary information and access rights are explicitly included within all arrangements with Downstream Partners.

32. The Partner will ensure that all goods and services financed either fully or in part from DFID funds will continue to be used for the purpose set out within this Arrangement. In the event of such goods or services being used for other purposes, the Partner must notify DFID immediately and in writing and DFID may seek to recover from the Partner the value of the goods and services concerned.

33. The Partner will retain all records associated with this Arrangement for a period of not less than 5 years after the end of this Arrangement.

### **Information rights**

34. The Partner acknowledges that DFID is subject to the requirements of the Freedom of Information Act 2000, the Environmental Information Regulations 2004, the Data Protection Act 1998 (DPA), subordinate legislation and guidance and codes of practice issued by the Information Commissioner and relevant Government Departments.

35. The Partner will assist and co-operate with DFID to enable DFID to comply with its information disclosure and data protection obligations.

36. The Partner will perform its obligations under this Arrangement in such a way as to protect the personal information of individuals.

37. The Partner will comply at all times with its obligations under the DPA.

### **Transparency**

38. The Partner will publish to the International Aid Transparency Initiative (IATI) standard on all its DFID funding within six months of the start of this Arrangement. DFID expects the Partner to publish to the IATI standard on all its non-DFID funding and for Downstream Partners to publish to the IATI standard on their funding. The intention of this commitment is to allow traceability throughout the delivery chain.



39. The Partner gives consent for this Arrangement (and any subsequent amendments) and associated funding information to be published on DFID's website.

### **Responsibility**

40. The Partner is solely accountable for compliance with the provisions of this Arrangement including where the Partner engages any Downstream Partner(s). The Partner will reflect the provisions of this Arrangement as necessary in any arrangement(s) with any Downstream Partner(s) to ensure both the Partner and Downstream Partner(s) are compliant with the provisions of this Arrangement.

41. DFID will not be responsible for the activities of the Partner or any Downstream Partner(s) in connection to this Arrangement, nor will DFID be responsible for any costs incurred by the Partner or its Downstream Partner(s) in terminating their engagement or the engagement of any other person, company or organisation.

42. The Partner will be accountable for the appropriate use of DFID funds, management of risk and delivery of project outputs and outcomes, including any adverse effects of aid expenditure that have an undesired or unexpected result upon recipients including any adverse gender related impacts.

### **Risk management**

43. The Partner will develop and maintain an up to date risk register that, as a minimum, enables individual risks to be clearly identified, an assessment of their likelihood and impact, how they will be dealt with and escalated and who is responsible for monitoring and reporting on them.

44. The Partner will manage all risks in relation to this project unless otherwise agreed as part of the risk register and in writing with DFID. Where the Partner transfers risk to any Downstream Partner, the Partner will remain accountable to DFID for the effective management of that risk.

### **Procurement**





45. The Partner will ensure that any procurement using DFID funds adheres to international best practice and applicable regulations, is transparent, fair and open and is designed to achieve value for money. Where the Partner does not have the skills or capacity to carry out high value procurement (>£100k), the DFID approved procurement supplier should be used.

46. Records of all procurement activity must be kept by the Partner and made available to DFID, upon request. DFID reserves the right to assess the procurement capacity and capability of the Partner at any time.

### **Assets and inventory**

47. DFID considers any equipment and/or supplies purchased in part or fully from DFID funds as project assets if they have a useful life of more than one year; and either (1) the purchase price or development cost of the asset is in excess of £500 or equivalent in local currency; or (2) is a group of lower value items (e.g. pharmaceutical products, food, relief packs, etc.) where the combined value is in excess of £500 or equivalent in local currency; or (3) can be considered an attractive item regardless of cost (e.g. mobile phones, cameras, laptops, tablets, satellite phones, vehicles, etc.).

48. The Partner will establish and maintain an inventory of all such assets.

49. The Partner will ensure that a physical check of all assets takes place on at least an annual basis and submit to DFID an up to date inventory template (Annex 2), providing confirmation of the checks, alongside the annual accounts. Where possible the Partner should undertake these checks directly.

50. The Partner will be accountable for the appropriate use and control of inventory items, in line with this Arrangement.

51. The Partner will manage the risk of assets being lost, stolen, damaged or destroyed under its own policies and procedures. DFID expects the Partner to cover the cost of repairing or replacing lost, stolen, damaged or destroyed assets and should make a risk based decision on how best to do this. If the Partner decides to take out commercial insurance to cover lost, stolen, damaged or destroyed assets, DFID funds cannot be used to fund the premiums unless, by exception, explicitly agreed in writing in advance.



52. DFID will retain ultimate ownership of all assets, specifically project assets, financial assets and information assets, until ownership transfer or asset disposal is otherwise agreed in writing by DFID normally at the end of this Arrangement. The Partner should propose an appropriate disposal schedule to DFID in writing no later than 14 days before the Project End Date.

### **Health, safety and security**

53. The Partner is responsible for all security arrangements in relation to this Arrangement including the health, safety and security of any person employed or otherwise engaged as part of this Arrangement, including those employed or engaged by any Downstream Partners.

54. DFID funds cannot be used to fund any insurance premiums intended to cover medical expenses, injury or disablement, and death unless, by exception, explicitly agreed in writing in advance.

### **Communication and branding**

55. The Partner will collaborate with DFID and proactively look for ways to build support for development and raise awareness of DFID's funding. The Partner will explicitly acknowledge DFID's funding, in written and verbal communications about activities related to the funding, to the public or third parties, including in announcements, and through use, where appropriate, of DFID's "UK aid – from the British people" logo ('UK aid logo') in accordance with DFID standards for use of the UK aid logo, unless otherwise agreed in advance by DFID and in all cases subject to security and safety considerations of the Partner.

56. The Partner will provide a visibility statement (Annex 3) of how and when they will acknowledge funding from DFID and where they will use the UK aid logo, which should be approved by DFID prior to the Partner releasing any public communications. The Partner will include reference to this in its progress reports and annual reviews.

57. The Partner may use the UK aid logo in conjunction with other donor logos, and where the number of donors to a project is such as to make co-branding impractical, acknowledgement of funding from DFID should be equal to that of other co-donors making contributions of equivalent amounts to the project.

### **Intellectual property**



58. Intellectual property in all material (including, but not limited to, reports, data and designs, whether or not electronically stored) produced by the Partner or its personnel, members or representatives in the course of this Arrangement ("the Material") will be the property of the Partner.

59. In signing this Arrangement, the Partner hereby grants to DFID a worldwide, non-exclusive irrevocable and royalty-free licence to use all the Material, where "use" shall mean, without limitation, the reproduction, publication and sub-licence of all the Material and the intellectual property therein, including the reproduction and sale of the Material and products incorporating the same, for use by any person or for sale or other dealing anywhere in the world.

### **Conflict of interest**

60. Neither the Partner nor any individual employed or contracted by the Partner shall engage in any personal, business or professional activity which conflicts or could conflict with any of their obligations in relation to this Arrangement.

### **Fraud, corruption, bribery, theft, terrorist financing and other misuse of funds**

61. DFID and the Partner will immediately and without undue delay inform the other participant of any event which interferes or threatens to materially interfere with this Arrangement, whether financed in full or in part by DFID, including suspicion of or actual fraud, corruption, bribery, theft, terrorist financing or other misuse of funds.

62. DFID have an expert fraud investigation unit, that should be contacted in the first instance at [fraud@dfid.gov.uk](mailto:fraud@dfid.gov.uk) or +44 (0)1355 84 3747. All information will be treated with the upmost confidentiality. Information can also be reported directly to the DFID programme team where appropriate; these will be immediately passed on to DFID's Counter Fraud Section.

63. DFID and the Partner have a zero tolerance approach towards fraud, corruption, bribery, theft, terrorist financing and other misuse of funds including any associated inappropriate behaviour. Both Participants will fully co-operate with any investigation into such events, whether led by DFID or the Partner. DFID may at any time during, and up to five years after the end of, this Arrangement, arrange for additional audits, on-the spot checks and/or inspections to be carried out. These may be carried out by DFID, or any of its duly authorised representatives.



64. Notwithstanding any provisions in this Arrangement or other contractual requirements, DFID may suspend funding or terminate this Arrangement with immediate effect, in preference to the standard notice period, in the event of actual or suspicion of fraud, corruption, bribery, terrorist financing or other misuse of funds, and DFID may recover from the Partner all or part of the funds paid under this Arrangement.

65. Consistent with local and international legislation and applicable United Nations Security Council resolutions, both DFID and the Partner are firmly committed to the international fight against terrorism. It is the policy of DFID to seek to ensure that none of its funds are used to provide support to individuals or entities associated with terrorism and that DFID staff and its programmes activity are compliant with counter terrorist financing legislation. In accordance with this policy, DFID expects the Partner and all Downstream Partners to make themselves aware of, and comply with their obligations under the relevant counter terrorist financing legislation.

66. The Partner will seek to ensure that none of the funds or assets provided under this Arrangement are made available or used to provide support to individuals, groups or entities associated with terrorism including those named on the following lists as updated from time to time:

- **HM Treasury's Office of Financial Sanctions Implementation** – Financial sanctions: consolidated list of targets
- **UK Home Office** – Proscribed terrorist groups or organisations
- **European Union** – Consolidated list of sanctions
- **United Nations** – United Nations Security Council Sanctions List
- **World Bank** – World Bank Listing of Ineligible Firms & Individuals

### **General termination and closure**

67. To allow for final payments, this Arrangement will terminate six months after the Project End Date unless terminated earlier in accordance with the provisions in this Arrangement.

68. If DFID is concerned that the provisions of this Arrangement have not been fulfilled by the Partner, or if any activities occur which will significantly impair the implementation or development value of this project, the Participants will at first negotiate in an attempt to resolve any issues. Following such negotiation, this Arrangement may be amended or terminated in accordance with the relevant provisions in this Arrangement.

69. This Arrangement can be terminated at any time by three months' written notice by either Participant. All unspent funds other than those irrevocably committed in good faith before the date of



termination, in line with this Arrangement and approved between the Participants as being required to finalise activities, will be returned to DFID within 14 days of the date of receipt of a written notice of termination from the terminating Participant. The Partner must quote the relevant Sales Invoice reference number when returning funds.

70. Notwithstanding any provisions in this Arrangement or other contractual requirements, DFID may terminate this Arrangement with immediate effect, in preference to the standard notice period, and at its discretion may recover all or part of the funds paid under this Arrangement if any of the following occur:

- a) The Partner directly or through its Downstream Partners either repeatedly fails to comply with, or is in material breach of, any of the provisions of this Arrangement or any other DFID arrangement or contract whether currently or previously in place;
- b) The Partner, or any Downstream Partner, at any time during this Arrangement goes into liquidation, administration or other similar process, is dissolved or enters into any arrangements with its creditors;
- c) The Partner or any Downstream Partner, without the prior consent of DFID in writing, assigns or transfers, or purports to assign or transfer, or causes to be assigned or transferred, any interest in this Arrangement or any part, share or interest therein;
- d) There is a change in identity or character of the Partner (such assessment to be made at DFID's sole discretion) or that of any Downstream Partner including, but not limited to, through the take-over, merger, change of ownership or control;
- e) In the event that the project ceases to be pursued for any reason other than by way of successful completion;
- f) The Partner or any Downstream Partner uses the funds provided under this Arrangement or any other DFID funds for any purpose other than the purpose provided for;
- g) An event occurs which materially affects, or has the potential to materially affect, the performance of the Partner's obligations as part of this Arrangement;
- h) An event occurs which damages, or is capable of damaging, the reputation or integrity of DFID or that of the project to which this Arrangement relates.



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71. The Partner will return any unspent funds remaining at the end of this Arrangement within 14 days of receiving a Sales Invoice from DFID, unless otherwise agreed by DFID in writing. At any time when returning funds the Partner must quote the relevant Sales Invoice reference number.



**Signature**

72. This Arrangement places on record the understanding of the Participants and comes into operation on the date of signature below.

Signed on behalf of DFID

<b>Name:</b>	Peter J Evans
<b>Position:</b>	Team Leader, Governance Conflict and Social Development (GCSD) research team, DFID Research and Evidence Division (RED)
<b>Address/Contact Details:</b>	DFID 22 Whitehall, London, UK SW1A 2EG
<b>Date:</b>	31 October 2018

Signed on behalf of the Partner

<b>Name:</b>	Alan Hudson
<b>Position:</b>	Executive Director, Global Integrity
<b>Address/Contact Details:</b>	1110 Vermont Avenue, NW, Suite 500 Washington DC, 20005 USA
<b>Date:</b>	31 October 2018



**ANNEX 1: PARTNER PAYMENT REQUEST FORM**

<b>To:</b>	<b>Tom McEnroe, DFID Project Manager}, Research and Evidence Division</b>
<p>When submitting this payment request the Partner must include the following supporting documentation:</p> <ol style="list-style-type: none"> <li>1) Detailed project financial reports that set out in both cash and resource terms actual expenditure to date against the approved project budget and quarterly forecast expenditure for DFID's financial year (1 April-31 March).</li> <li>2) Reports must be in Sterling (GBP). Foreign currency reports should be converted using the relevant exchange rate in OANDA (<a href="http://www.oanda.com">www.oanda.com</a>).</li> <li>3) In multi-donor arrangements, reports should clearly segregate the DFID proportion of funding.</li> <li>4) For payments in advance, a copy of the Partner's justification and DFID's agreement.</li> </ol>	

**Title and Details and Summary of Funding**

Organisation	Global Integrity		
Title of Grant / Project name	Anti-Corruption Evidence Programme		
Project Location			
DFID Component Code / Purchase Order No.	203752-		
Date of Claim			
Period of detailed Statement of Expenditure	{dd/mm/yyyy}	to	{dd/mm/yyyy}
Period of detailed Forecast of Expenditure	{dd/mm/yyyy}	to	{dd/mm/yyyy}

<i>For Payments in Arrears</i>	
Unspent balance of DFID funds for the quarter ending {dd/mm/yyyy}	
(b) Partner Expenditure for the quarter ending {dd/mm/yyyy}	
Payment requested for previous quarter ((b)-(a))	

OR

<i>For Payments in Advance</i>	
(c) Unspent balance of DFID funds for the quarter ending {dd/mm/yyyy}	





(d) Forecast of Expenditure for next quarter ending {dd/mm/yyyy}	
Payment requested for next quarter ((d)-(c))-	

<i>For All Projects</i>	
Partner Forecast Expenditure to 31 December	
Partner Forecast Expenditure to 31 March	

**Partner Bank Details**

Bank Name:	
Bank Postal Address:	
Name of Account:	
Bank Account Number:	
Sort Code:	
Currency of Bank Account:	
IBAN number: [required for bank accounts within Europe]	
SWIFT number:	
ABA or BIC Number: [BIC required for bank accounts within Europe]	
Intermediary bank details:	
Bank Email Address:	



**Audit Discharge**

**Global Integrity** will provide to DFID, within six months of the end of its financial year, independent assurance that DFID funds have been used for the intended purposes by submitting annual accounts audited by an independent and appropriately qualified auditor where DFID project funding is clearly segregated from other funds.

**Certification**

I certify that this claim is correct and that the sum requested is properly due on the basis of the information provided, project outputs and outcomes and on the work carried out or future work plans. I confirm that receipt of this payment will not result in double funding of the work carried out or future activities. I have the authority to sign this on behalf of **Global Integrity**

<b>Signature:</b>	
<b>Date:</b>	
<b>Name:</b>	
<b>Job title:</b>	
<b>Address &amp; Contact Details:</b>	



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**ANNEX 2: INVENTORY**

**Project Name: Anti-Corruption Evidence Programme**  
**DFID Project Number: 203752**

**DFID Component Code: 203752-10**

*DFID considers any equipment and/or supplies purchased in part of fully from DFID funds as project assets if they have a useful life of more than one year; and either (1) the purchase price or development cost of the asset is in excess of £500 or equivalent in local currency; or (2) is a group of lower value items (e.g. pharmaceutical products, food, relief packs, etc.) where the combined value is in excess of £500 or equivalent in local currency; or (3) can be considered an attractive item regardless of cost (e.g. mobile phones, cameras, laptops, tablets, satellite phones, vehicles, etc.).*

Item no.	Serial no.	Date of purchase (dd/mm/yy)	Description (Make and Model)	Purchase value (£)	Location	Responsible person	Anticipated years of life	Disposal date (dd/mm/yy)

On behalf of **Global Integrity**, I certify that this inventory is up to date and correct following a physical check on all project assets. The physical check commenced on **XX Month 20XX** and was completed on **XX Month 20XX**. I have the authority to sign this on behalf of **Global Integrity**.

<b>Signature:</b>	
<b>Name:</b>	
<b>Job Title:</b>	
<b>Date:</b>	



### ANNEX 3: UK AID VISIBILITY STATEMENT

As part of this Arrangement, the Partner will acknowledge funding from the UK government, in written materials and verbal statements and through use of the UK aid logo on project assets. Please refer to the UK aid branding guidance for further information on how to acknowledge funding from the UK government. By completing and signing this statement the Partner agrees to fulfil these requirements.

As part of the reporting requirements for this Arrangement, the Partner may be asked to provide evidence of the branding in use, including photographs of the logo in the field and examples of communications materials. Branding Guidance and details of how to access the UK aid logo files can be found here:

[https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/326391/UK\\_aid\\_branding\\_guidance\\_June\\_2014.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/326391/UK_aid_branding_guidance_June_2014.pdf)

<b>Partner Name</b>	<b>Global Integrity</b>
<b>Project Number</b>	<b>203752</b>
<b>Project Title</b>	<b>Anti-Corruption Evidence Programme</b>
<b>Project Description</b>	The Anti-Corruption Evidence (ACE) programme will deliver new, practical research on 'what works' to tackle corruption in developing countries. Uptake of this new research by DFID and its partners will mean that anti-corruption initiatives are more effective and so corruption and leakage are measurably reduced. ACE will focus in 3-4 DFID priority countries drawn from a short list including Ghana, Uganda, Tanzania, Mozambique and Nigeria; and Bangladesh.
<b>Please list the assets that will be delivered by the project that will carry the UK aid logo or acknowledgement of UK aid funding</b>	
<i>List all assets including physical items and supplies, and other non-physical items that will be delivered as part of the project e.g. annual reports, research reports, press releases, websites, other communication or event materials (refer to Sections 5 &amp; 6 of the branding guidance for more information on where UK aid branding should / should not appear)</i>	
<b>Please list the assets that will be delivered by the project that will not carry the UK aid logo or acknowledgement and explain clearly why these items will not carry UK aid branding</b>	
<i>All exceptions require approval by the Head of Department of the team in whose portfolio the programme sits and a record of this approval, e.g. an email, should be kept along with the programme documentation (refer to Section 6 of the UK aid branding guidance for more information on branding exceptions)</i>	

#### Declaration

I understand that no UK aid funds may be used to procure any promotional communications goods or activities that do not have a direct impact on the successful delivery of this project or serve to increase the transparency of funding. By signing this statement, the Partner agrees to fulfil the commitments stated above.



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**{PARTNER NAME} Representative:**

Name: Alan Hudson

Job title: Executive Director

Signature: *Alan Hudson*

Date: 31 October 2018

**Agreed by DFID Representative:**

Name: Dr Peter Evans

Job title: Team Leader, DFID GCSD Research Team

Signature: *Dr Peter Evans*

Date: 31 October 2018

## **DFID's Anti-Corruption Evidence Programme**

### **A proposal to manage component one**

#### **Introduction**

1. This is a proposal for the award of an Accountable Grant to Global Integrity for a period of three years from September 2018 to August 2021 for the total amount of £5.51 million. The grant will enable Global Integrity (GI) to implement the second phase of the first component of the DFID-funded Anti-Corruption Evidence (ACE) Programme. Under the overall direction of Global Integrity, Professor Paul Heywood will continue to serve as the technical lead (Programme Director) for the ACE programme (hereafter, GI-ACE).
2. The overarching objective of component one of the GI-ACE programme is to support world-class multi-disciplinary research which will inform the development of more effective policies and interventions that will help reduce corruption in developing countries and address its negative impact on people's lives. To achieve this objective, ACE is designed to produce new and operationally relevant evidence on tackling corruption, with a focus on ensuring that the research outputs support more effective, evidence-based anti-corruption initiatives by DFID and its partners in DFID priority countries and beyond.
3. GI-ACE is focused on generating three broad types of output: i) the production of new research testing 'what works' to reduce corruption, ii) engagement with policy makers and practitioners, and iii) demonstration of uptake and use of new research to inform better anti-corruption strategy, policy, and operations. GI-ACE would pick up the baton from the British Academy, who were responsible for running phase one of this programme.
4. Phase two will focus on selecting and managing 12 to 14 research grants — at least two of which are follow-up projects from phase one. The new projects selected for phase two will address four key themes that have been identified as particularly relevant. The themes are:
  - International architecture and beneficial ownership
  - Commodity trading and potential responses
  - Promoting integrity and systems of integrity management in the public and private sector
  - Corruption at sub-national and sectoral levels

#### **Why Global Integrity**

5. Global Integrity has a strong track-record of measuring and assessing anti-corruption and integrity systems, combining country level work and global engagement and advocacy with a view towards shaping thinking, policy, and practice on governance and development. We

work with partners to generate, analyze and use data, evidence and insights to understand the challenges they face and to inform and inspire their search for effective solutions. We deploy the evidence and insights generated to inform global discussions about the value of cross-country and comparative learning strategies and support stakeholders to craft policies and implementation plans in specific contexts.

6. We work with our partners to develop and apply problem-driven and learning-centred approaches to help them achieve impact. Examples of our work include i) working with state governments in Mexico to strengthen their capacity to better understand the fiscal data landscape and to use that data to address concrete problems; ii) supporting the Transparency and Accountability Initiative (TAI) donor consortium to design and implement a partnership meant to explore how learning can strengthen transparency and accountability outcomes; iii) working with civil society grantees across the world to test how they can adapt their strategies for effectively engaging citizens in pursuit of open governance.
7. We are well connected in the anti-corruption and governance space, in the US and globally, and are part of a network of thought leaders and frontline organizations that extends across academia, practitioners, funders, policy-makers and country level actors located in countries across the world. Based in Washington DC, and operating out of the OpenGov Hub together with the Open Government Partnership, we are just a few blocks from the White House, the World Bank, the IMF, USAID and the Millennium Challenge Corporation and have easy access to policy-makers and practitioners around DC.
8. We are well positioned to organize learning, engagement and coordination events in London, in DC, and in DFID-priority countries. In Washington, we can offer the OpenGov Hub as a convening space at no additional cost. In London, we have an excellent network of partner organizations such as the Mo Ibrahim Foundation, the Overseas Development Institute, CIVICUS or Palladium who will be able to sublet venue space or provide it for free. In other countries, we can draw on our network of in-country partners to access coworking meeting venues at low cost or rent commercially available space.
9. Over the past two years, GI has keenly followed the genesis and progress of the ACE programme and has supported the efforts by both Professor Heywood and Professor Khan (who leads SOAS-ACE) to strengthen and promote the ACE programme and its underlying philosophy to approach anti-corruption research in novel and more useful ways. Excitingly, the ACE programme has the potential to generate evidence to inform and influence the evolution of the overall anti-corruption agenda, stressing the need (and the benefits) of following a problem-driven approach, generating practitioner-relevant anti-corruption research, and being explicit about the utility of focusing on the political dynamics and incentives that drive corruption as one of the key determinants to understanding and communicating about 'what works.'



10. GI is committed to ensuring that this exciting and innovative programme lives up to its promise and we are keen to make sure the evidence does indeed influence policy makers and practitioners. Our contribution will be to develop and implement an approach that centres on 'pathways to impact,' integrating high-quality research, policy engagement, and communication expertise, along with accountable and effective programme management, to ensure GI-ACE delivers on its potential.

### **How we will manage the programme**

9. Phase one of the BA-led ACE programme made good progress against the outputs specified in the ACE logframe. GI is keen to build on the momentum generated and to address the challenges identified to ensure the ACE programme is able to deliver even more effectively on its objectives. The primary challenge to address in phase two is that of ensuring that policy engagement and communications are fully integrated at both project and programme level to ensure the research is as impactful as possible. This is key to making sure the programme is more than the sum of its parts.

10. To strengthen the effectiveness of the programme, GI will focus its efforts at both project and programme level on four mutually reinforcing elements which we see as fundamental to delivering high-quality research and impact:

i) ensure programme management and accountability requirements are met at both project and programme level;

ii) support researchers in generating operationally-relevant, rigorous, world-class anti-corruption research;

iii) strengthen project and programme level policy engagement strategies by thinking through, guiding, testing and exploring how best to deploy evidence to ensure uptake that informs policy and practice; and

iv) enhance project and programme level communication capacities to prepare, disseminate, and successfully communicate research evidence and insights.

11. The grants competition process, currently on hold, will be concluded by selecting and awarding grants that reflect the four anti-corruption priority themes identified for phase two. We will ensure the process is transparent and based on clear and objective criteria, including quality-based scoring and ranking of proposals, a risk assessment, and expert discretion with regard to relevance, fit, and usefulness of the proposals with regard to the ACE objectives.

12. Grant monitoring and performance management will follow best practice and will build on lessons learned in phase one of the ACE programme. GI will ensure that research partners

achieve results, that risks are managed and that each grantee delivers value for money. During each performance cycle (every six months), we will meet with grantees to discuss their performance and complete an assessment which would trigger disbursement of the next tranche of funds. Measures of performance will include the quality of financial and narrative reporting, achievement of results and whether expenditure is compliant and in line with the budget.

13. To strengthen the effectiveness of GI-ACE and to enhance the overall impact of the ACE programme, we plan to undertake the following activities:

<b>Element</b>	<b>GI-ACE project level activities</b>	<b>GI-ACE programme level activities</b>
<b>Programme Management and Accountability</b>	<ul style="list-style-type: none"> <li>- Support grantees and build their capacity to administer projects, to report on time and to justify spending</li> <li>- Work with grantees to update risk registers</li> <li>- Work with grantees to map downstream partners</li> <li>- Work with grantees to be fully compliant with grant requirements</li> </ul>	<ul style="list-style-type: none"> <li>- Finalize grantee selection</li> <li>- Ensure effective grant administration</li> <li>- Ensure effective financial oversight</li> <li>- Ensure compliance requirements</li> <li>- Document and report on GI-ACE programmes progress and results for enhanced decision-making</li> </ul>
<b>Research</b>	<ul style="list-style-type: none"> <li>- Support research generation</li> <li>- Ensure relevance of research</li> <li>- Build grantees' capacity to collaborate internationally and foster their ability to develop research capacity</li> <li>- Support grantees to think through the context and the political dynamics in which they operate to figure out how and where evidence can best inform policy and practice</li> </ul>	<ul style="list-style-type: none"> <li>- Articulate credible pathways to impact strategy (ToC) to link research, policy engagement and communications at programme and project levels</li> <li>- Devise light-touch monitoring system to harvest outcomes to provide data for enhanced decision-making and project adjustments in real-time</li> <li>- Capture lessons learned about pathway to impact strategy through a fully integrated programme</li> <li>- Support systematic sharing and learning across projects and at programme level</li> <li>- Synthesize AC research findings from phase 1 &amp; 2 at programme level</li> </ul>
<b>Policy Engagement</b>	<ul style="list-style-type: none"> <li>- Build grantees' capacity to develop and implement project-specific policy engagement plans, taking into account research objectives and political economy dynamics</li> <li>- Support grantees to explore possible</li> </ul>	<ul style="list-style-type: none"> <li>- Create, implement and update GI-ACE policy engagement strategy and corresponding light-touch MEL framework</li> <li>- Seek and create opportunities for engagement with policy-makers and</li> </ul>



	<p>involvement and input by local/affected stakeholders to inform research, communications &amp; engagement strategy</p> <ul style="list-style-type: none"> <li>- Strengthen grantees' ability to understand, track and adjust their policy engagement outcomes, including with DFID country officers</li> <li>- Support grantees to explore and expand policy engagement opportunities to bring their insights and experience to bear in relation to proximate/ neighboring issues and contexts</li> </ul>	<p>practitioners and facilitate presenting key findings to targeted audiences, building on the examples in phase one by David-Barrett/ Fazekas and Baez-Camargo</p> <ul style="list-style-type: none"> <li>- Conduct two or three one-off pilots to test how best to integrate evidence generation, policy engagement and communications in complex project settings</li> <li>- Ensure 'easy' policy engagement opportunities are implemented and documented across all projects</li> <li>- Involve grantees in the GI-ACE overall policy engagement strategy</li> <li>- Convene, organize and attend policy engagement meetings at country and international level, including annual conferences organized by GI-ACE</li> </ul>
<p><b>Communications</b></p>	<ul style="list-style-type: none"> <li>- Support grantees and build their capacity to think through and develop project-specific communications plans that link policy engagement aims with evidence generation for the dual purpose of disseminating evidence and engaging in policy discussions</li> <li>- Strengthen grantees' ability to implement communications plan and to generate materials to engage key audiences</li> <li>- Support grantees in writing and editing policy briefs, using social media platforms and making use of traditional communication channels, such as op-eds in newspapers</li> <li>- Offer opportunities for grantees to participate in the GI-ACE overall communications strategy</li> <li>- Provide copy-editing services</li> </ul>	<ul style="list-style-type: none"> <li>- Create, implement and update GI-ACE communications strategy and corresponding light-touch MEL framework</li> <li>- Strengthen outreach and communications efforts by expanding on both networks and methods used, including by drafting policy briefs, creating podcasts, fostering guest blogging and seeking invitations for external brown bags</li> <li>- Involve grantees in the GI-ACE overall communications strategy</li> <li>- Create GI-ACE communication products for specialized and non-specialized audiences w/ focus on practitioners' needs, including GI-ACE specific website</li> </ul>

14. Building on the momentum generated in phase one, we will work closely with the grantees and DFID to plan, manage, implement, and periodically adjust the various elements of the programme to meet the overarching objective of generating policy-relevant research that is useful and used by the various policymaker and practitioner audiences.

15. GI will work with the grantees to strategize about — and then implement — the most promising project-specific approach to engaging policy-makers and practitioners and will provide adequate capacity building and communications support to all grantees to ensure that research generation, policy engagement and communications are fully integrated and mutually reinforcing. This will entail supporting grantees to think through how to involve stakeholders at both project and programme levels, and will require grantees to take part in periodic light-touch reflection processes to fine-tune and improve their ability to engage with policy-makers. Last but not least, we will work with grantees to learn with and from each other.
16. Building on the ‘Research uptake guide for DFID-funded research programmes’ toolkit, and a wealth of other resources and experiences, we will work with grantees to make sure the GI-ACE programme delivers at country and international levels. This will entail working with grantees to navigate the political economy in which their research plays out to ensure they are effective when trying to influence action by policymakers and practitioners. In addition, Global Integrity will provide a number of communication support services to projects, likely identifying a subset of grantees where additional communication support can generate the best possible outcomes.
17. Throughout the programme, we will ensure to emphasize gender and diversity considerations, working at programme and project levels to ensure that researchers give due consideration to the gender dimensions of their research, that there is a diversity of participation in policy engagement and public events, and that all aspects of programme management are mindful of gender considerations.
18. To strengthen the effectiveness, cohesiveness and impact of the overall ACE programme (GI-ACE and SOAS-ACE) and to ensure that the two components connect meaningfully at both project and programme levels, GI will liaise with and, where appropriate, coordinate with the SOAS team to strengthen joint learning, communication, and policy engagement activities across the two programmes.
19. A key mechanism to ensure better coordination is to compare notes on a recurring basis to learn about the different approaches utilized and the results achieved. This might include joint thinking around outcome harvesting, outcome mapping and process-tracing methodologies to learn about the effectiveness of policy engagement and communications strategies employed throughout the project. The minimum aim will be to establish quarterly working meetings, to write joint blogs and commentary, and to create additional overall ACE products that contribute to achieving results at the outcome level of the ACE programme. The budget presented below includes expenses to cover organization, coordination and attendance of joint events in both London and DC and — depending on its anticipated usefulness — at country level and at international conferences.

## **Division of Labour, roles and responsibilities**

16. Guided by the logframe - which we expect to revise in close collaboration with DFID - GI will develop and implement a clearly sequenced project plan that sets out how to integrate the activities across all four elements, focusing its efforts to ensure results at outcome level. Under the overall direction of Dr. Alan Hudson (Executive Director), GI will ensure there is a clearly defined division of labor and assigned responsibilities to all team members to generate the envisioned results at outcome level.
17. The team will consist of Professor Heywood, who will continue to serve as the programme's technical lead (Programme Director) with relevant expertise and standing in the anti-corruption field. He will ensure coherence across the entire programme and work with grantees to generate the evidence, ensuring relevance, rigor and quality of the research. In addition, he will work with DFID and other experts to further refine and develop the research approaches and will have the overall responsibility for synthesizing, communicating and disseminating key findings to relevant audiences. This will include identifying opportunities and facilitating partnerships and connections between research groups and policy-makers.
18. He will be supported by Johannes Tonn, who will act as Programme Manager, with the responsibility of overseeing day to day operations, coordinating work plans and outputs and ensuring that policy engagement and communications are not seen as add-on activities but integrated as a key mechanism throughout the programme. Other team members include a Communications Specialist, a Finance Manager and a Program Assistant to ensure the programme will deliver adequately across all four elements.
19. GI envisions detailed quarterly check-ins with DFID to provide timely updates and to ensure that the programme is coordinated well and according to the expectations of all stakeholders involved. We look forward to DFID's support and guidance to manage and address any possible bottlenecks (should they arise) through open, honest and timely discussions.

## **Timing**

21. The GI-ACE programme is envisioned to run from September 2018 to August 2021. The selection of grantees is expected to be finalized by the end of October 2018. To ensure the programme will deliver results, GI will, within the first three months of the programme, fully develop and articulate its vision for a pathway to impact strategy which will then underpin specific policy engagement and communication strategies at both project and programme levels. We aim for inception workshops at programme and project level to be held during November and December 2018 — so to provide sufficient opportunity for grantees to develop project-specific action plans that will be monitored and revised every six months in parallel to the disbursement schedule.

22. Assuming that grants are made by November 2018, projects will conclude by November 2020. The first half of 2021 will be used for convening programme-level discussions and synthesizing findings. June, July and August 2021 will be reserved for concluding communications and engagement activities and to close out the project.

## Resources

23. The resources required to implement the project comprise research grants, and the cost to run and accompany the project across all 12-14 grantees and across all four elements needed to make the GI-ACE programme a success are estimated as follows.

Category	Year 1 (2018-2019)	Year 2 (2019-2020)	Year 3 (2020-2021)	Total
Research Grants (13 x approx. 320k)	£ 2,080,000	£ 2,080,000	-	£ 4,160,000
Programme Technical Lead 50% (as per phase two delivery plan, incl. travel)	£ 80,000	£ 80,000	£ 80,000	£ 240,000
GI personnel: Exec Director 20%; Prog Manager 60%; Finance Manager 40%; Communications Specialist 90%; Associate 50%	£ 218,301	£ 218,301	£ 218,301	£ 654,904
Direct cost - travel GI (equally distrib. across 3 years)	£ 40,109	£ 40,109	£ 40,109	£ 120,327
Direct cost - annual engagement events	£ 50,000	£ 50,000	£ 50,000	£150,000
Direct cost - design and integration of micro-site into GI webpage to serve as communications platform for the ACE programme and content production (video and podcast etc.)	£ 35,000	£ 15,000	£ 15,000	£ 65,000
GI Indirect cost (10%)	£ 42,341	£ 40,341	£ 40,341	£ 123,023
<b>Total</b>				<b>£ 5,513,254</b>