Guidelines to CtEH investment proposals

I. Background, purpose and scope of CtEH funding

Background
*Crops to End Hunger* (CtEH) started as a multi-Funder initiative that aims to accelerate and modernize the development, delivery and widescale use of a steady stream of new crop varieties. These new varieties are developed to meet the food, nutrition and income needs of producers and consumers in Africa and other vulnerable regions. Essentially, the goal is: better varieties in women and men farmers’ fields faster.

In 2018, CtEH partners tasked the CGIAR Excellence in Breeding Platform (EiB) to coordinate and facilitate one-off investments to support plant breeding modernization across CGIAR/National Agricultural Research and Extension Systems (NARES). EiB ended as an official CGIAR platform in 2022, therefore the implementation of the CtEH funds is now managed by the leads of the new CGIAR Initiatives: Accelerated Breeding, Breeding Resources, Market Intelligence and Seed Equal, and the director of the Genetic Innovation Science Group.

Purpose
CtEH funds are directed towards “one off” investments enabling crop x region breeding networks to modernize breeding operations, making them more efficient and effective, and/or accelerating genetic gains per dollar spent for prioritized product profiles/market segments. The use of CtEH funds elevates the technical and/or organizational capacities of CGIAR centers and NARES.

Modernization priorities of CtEH focus on the following crops and regions (Table 1) where breeding efforts are most likely to generate large-scale impact towards the five CGIAR Impact Areas: 1. Nutrition, health, and food security; 2. Poverty reduction, livelihoods, and jobs; 3. Gender equality, youth and social inclusion; 4. Climate adaptation & mitigation and 5. Environmental health & biodiversity.

Scope
CtEH funds are for implementing the transition to more (cost) effective breeding programs. It is the aim that every CtEH investment is coupled to organizational change. CtEH funds cannot be used to finance the personnel and operational costs of breeding, such as making crosses, evaluating progenies, analyzing samples or data, or to support other recurring costs.

Breeding programs and pipelines for other crops, forages and regions can be considered for modernization investments, provided they lead to substantial benefits for the five CGIAR Impact Areas.

**Table 1: CtEH Crop by Region Prioritization**

<table>
<thead>
<tr>
<th>Target Region</th>
<th>Crops</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sub-Saharan Africa (SSA)</td>
<td>Cassava, Groundnut, Maize, Plantain/Banana, Rice, Sorghum, Forages</td>
</tr>
<tr>
<td>SSA- Eastern and Southern</td>
<td>Beans, Potato, Sweet Potato</td>
</tr>
<tr>
<td>SSA- Western &amp; Central</td>
<td>Cowpea, Millets, Yams</td>
</tr>
<tr>
<td>South Asia</td>
<td>Rice, Wheat</td>
</tr>
</tbody>
</table>
In particular, CtEH funds support CAPEX investments, capacity building, and/or organizational change required to:

1. Modify current breeding approaches to rapid-cycle recurrent selection approaches which accelerate cycle times, such as those that enable breeding programs to:
   a. enable recycling of parents from earlier stages of testing, better sampling of environments, or better sampling of the “year” effect.
   b. achieve rapid generation advancement (RGA) of seed-based crops to reduce the time between crossing and trialing and achieve faster cycling times.
   c. rapidly-multiply progenies of clonal crops to reduce the time between crossing, trialing, and scaling to seed system and achieve faster cycling times.
   d. Implement marker-assisted rapid-cycle recurrent selection schemes.

2. Modify current testing approaches to more accurately capture prioritized target product profile traits, the Target Population of Environments (TPE) and farmers’ management conditions, including during earlier stages of testing, such as:
   a. Establishing managed phenotyping sites for biotic or abiotic priority traits suitable for testing a large number of progenies, in lieu of capturing such stresses randomly and less reliably.
   b. Enabling more cost-effective or accurate analysis of high priority quality and nutritional traits.
   c. Enabling the testing of a larger number of plots or a greater number of environments, those that better capture TPE and product profile traits across years, while keeping costs constant.

3. Enable the implementation of cost-effective, collaborative on-farm trials sampling a relevant number of locations, women and men, old and young, indigenous, and non-indigenous farmers, wherever possible, by involving farmer-based organizations or NGOs, especially women and youth farmer cooperation.

4. Upgrade CGIAR and NARES breeding stations and trialing networks to increase breeding capability and efficiency; strengthening the operations and trialing capacity of both CGIAR and NARES in a way that bring the two closer together. This includes upgrading the level of automation, digitization, use of GPS units, weather stations, irrigation facilities and soil moisture equipment.

5. Replace individualized, personnel- and cost-intensive approaches with standardized breeding operations, decoupled from breeding science such as for trait introgression, seed processing or multi-location testing.

6. For a limited period, enhance the skill base at CGIAR breeding centers (or group of centers) that lacked the necessary skills for a modern approach to breeding, leading to a modified and more effective staffing structure and operations.

7. Capacity building to ensure effective collaboration among breeders, biometricians, social scientists and station managers across centers, regions, and NARES.
II. Application process

Overview: Applications are made on a competitive basis, with the following key guidelines:

- **Calls for proposals:** There will be 6-monthly calls for concept notes published on the EiB website and through a public announcement to CGIAR centers (CIAT-Bioversity, Africa Rice, CIMMYT, CIP, ICARDA, IITA, ILRI, IRRI) involved in breeding in Sub-Saharan Africa,

- **Applicants:** Must be from CGIAR Centers. NARES participation is highly encouraged; however, proposals can only be submitted by a CGIAR Crop Lead or Center Research Director. Refer to document of principles guiding CGIAR & NARES engagement ([Link to Aide Memoire](#)).

- **Funding volume:** USD 15 million.

- **Timeframe:** Funds need to be spent within the current CGIAR business cycle, which means until Dec 2024.

- **Grant sizes:** Indicative amounts are from USD 500,000 to USD 2,000,000 per application.

- **Eligible costs:** The full costs for implementing the CAPEX investments, capacity building, Monitoring, Evaluation, Learning and Impact Assessment (MELIA) and/or organizational change, as described by the grant application, can be charged. The grant does not pay for any recurring costs of breeding or ensuing maintenance and repair of CAPEX, however a repair and maintenance plan needs to be in place at the time of funding. Indirect costs can be no greater than 15%.

Application and approval process:

**Call for proposals and concept submission (4 weeks):**
1. Release of subgrant proposal call.
2. Call-in session for recipients of the call to discuss questions.
3. Applicant prepares and submits a concept note (template, see below).

**Concept assessment (3 weeks):**
4. A committee with minimum three senior staff from Market Intelligence, Accelerated Breeding, Breeding Resources or external non-CGIAR experts will assess the concept notes based on the criteria listed in Section V, and issue a recommendation for either funding or rejection: (2 weeks)
5. GIZ responds with a non-objection.
6. Approval decisions are made, and applicants are informed.

**Full proposal submission (4-7 weeks):**
7. Selected applicants submit full proposal (refer to Section V) with all technical details.
8. Virtual workshops will be scheduled to explain in detail how to complete the full proposal template, and to discuss questions.

**Proposal assessment (5 weeks):**
9. Proposals are reviewed by 2-3 experts chosen from within the Genetic Innovation Science Group or external experts as per proposal focus, using the criteria listed in section V. (2 weeks).
10. The review may result in a request to the applicant to improve the submission, based on distinct questions or requests.
11. Financial appreciation and plausibility of budget is assessed by both the technical experts and Finance Manager for Accelerated Breeding and Breeding Resources (Cost-Benefit).
12. Gender consideration and plausibility will be assessed by the CGIAR GENDER Impact platform, including alignment with the checklist for gender responsive breeding (available on EiB website).
13. The proposals with successful technical, financial and gender reviews will be recommended to GIZ by the Director of the GI Action Area or delegate (1 week).
14. GIZ decision will be in writing within one week (unless communicated differently in exceptional cases such as leave or sickness).

Implementation:
15. Sub-grant contracting commences.
16. Funding and Implementation commences. Project to be completed by end of 2024. Extensions can be sought and are subject to funder’s approval.
17. Monitoring of project using the SCRIPTORIA tool (e.g. with support from relevant experts in the GI Action Area).

Instructions for concept note and proposal preparation:

Applicants should first prioritize breeding pipelines for investments that contribute most to the five CGIAR Impact Areas, then identify key bottlenecks in these breeding pipelines that can be addressed with CtEH funds. These funds can support Capital Expenditures (CAPEX), capacity building, and organizational change. Investments need to enable gender equity, support climate change adaptation or mitigation, be aligned with the Genetic Innovation logic, and fit into a One CGIAR-NARES breeding network (no duplication of infrastructure). Please consider involving a gender researcher and/or the gender platform in the proposal development.

Concept notes should be no more than three pages, answering all applicable questions in the template. Concepts can only be submitted by a CGIAR Crop Lead or Center Research Director. Multiple submissions are allowed within the proposal call period. Crop leads and research directors are encouraged to make prioritized submissions for investments that address the most critical bottlenecks for breeding pipelines best serving the five impact areas and benefitting women and men smallholder farmers.

Successful concept notes will be given written response to proceed with full proposal preparation. Proposals should be brief, using the CtEH proposal template (no longer than 10 pages).

Overarching criteria:

✓ Modernization of breeding pipelines within the scope of Table 1
✓ Institutional / program eligibility
✓ “One off” Type of investments – no routine operational expenses.
✓ Challenge: What problem(s) does the proposal target and how effective will it be to use CtEH funds for this purpose? The challenge must clearly link to the priorities identified by BPAT assessment and/or the workplans of the GI initiatives (https://bit.ly/Initiative_Proposals) as well as to the five impact areas.
✓ Objective: Describe what you aim to achieve with the modernization effort, including which breeding practices will be targeted and which elements of genetic gain will be influenced.
✓ Approach: Describe how you will achieve the anticipated objective, including methodology, description of roles and responsibilities within institutions and clearly defined timeline with intermediate measurable milestones.
✓ Sustainability: A fully costed plan with defined roles needs to be in place to ensure sustainability of the investment beyond the grant period.
✓ Beneficiaries: Impact pathway to smallholder farmers with intermediate, measurable milestones: It is important to demonstrate impact of the CtEH investments on final beneficiaries.
(especially women and men smallholder farmers). As such, each report should include a well-developed impact pathway with measurable milestones of how activities will result in impacts at the beneficiary level. This should be a visible representation of impact pathways leading from CtEH investment to the above outlined impact indicators with methods for measuring progress. On select proposals, impact studies may be requested at the end of the project period. Additional funding will be provided for such impact studies.

✓ **Gender**: Each proposal will need to demonstrate that they have examined the benefits and potential negative impacts for women and women smallholder farmers. It is advisable that in the proposal the project demonstrates that it has done an analysis on possible impacts, including explaining if the project will not have an impact on women.

✓ **Climate change**: All CtEH investments must be climate change responsive. Describe how the project will contribute to addressing climate change.

✓ **Duration**: 6-24 months. CtEH funds have to be spent by the end of the current research period, i.e. until Dec 2024. Extensions can be sought and are subject to funder’s approval.

All CtEH investments **MUST** be formulated with **S.M.A.R.T.** criteria, e.g., goals should be time-bound and realistic, within CtEH timeframe, concrete and measurable. Baseline, target, and method to determine progress are required for a successful proposal.

✓ **Specific** goals are targeted statements that answer the questions What? Who? Where? and How?. Proposed interventions must contain sufficient details: activities involved, why they are important, who should be involved, where will activities take place, resource requirements and/or limitations on breeding modernization. For example, a general goal is to decrease CO2 emissions, while a specific one is to fully describe (time, place, method) measures that will be implemented to decrease emissions by 20%.

✓ **Measurable** goals are quantifiable, they make it easier to track progress and know when you reached your goal. Establish an accurate baseline and describe expected measurable improvements. For example, training 20 new field operations staff to be 20% faster, or number of nominated varieties within prioritized market segment which the seed system can adopt per year.

✓ **Achievable** goals means that it is possible to reach the goal within your organization/network’s capacity, time and budget. They are not aspirational goals in an ideal world, but realistically achievable.

✓ **Relevant** goals answer the question Why? Why this intervention? Why this breeding pipeline(s)? Investments should address key bottlenecks in those breeding pipelines that create the most impact for smallholder farmers in one or more of the 5 impact areas and within the CGIAR/NARES breeding network.

✓ **Time bound** goals answer the question When? When will the investment lead to the measurable change? When will it lead to impact for smallholders? Investments should describe a target completion date of 24 months or less. Extension is permissible on a case-by-case basis and subject to approval.
III. Reporting Requirements

Successful applicants provide annual technical and financial reports (Templates to be provided). Reporting: annual technical and financial reports (due on 31st December of each year during which implementation takes place)\(^1\) to be provided by grant recipient.

The annual and final report needs\(^2\) to include the following CtEH-specific indicators, or otherwise indicate that a particular indicator is not applicable:

- Number of institutions where technical or organizational capacities have been strengthened.
- Number of breeding pipelines where technical or organizational capacities have been strengthened.
- Number of people (sex disaggregated) trained.
- Projected number of small holder farmers (sex and age disaggregated) benefiting from breeding pipelines modernized by CtEH investments by 2030.
- Projected impact on climate resulted from breeding pipelines modernized by CtEH investments by 2030.
- Projected number of people living in poverty (sex disaggregated) benefiting from breeding pipelines modernized by CtEH investments by 2030, as derived from the Market Segment Dashboard (Version May 2022, and forthcoming updates (link to come)).
- Projected number of malnourished people (men, women) benefiting from breeding pipelines modernized by CtEH investments by 2030, as derived from the Market Segment Dashboard (Version May 2022, and forthcoming updates (link to come)).
- Other standard CGIAR impact indicators (as per forthcoming reporting requirements).

IV. Terms and Conditions

Upon approval of a proposal, a subgrant agreement will be executed between CIMMYT and the implementing center, specifying the following, and other terms and conditions, in more detail.

**Policies.** Funds are to be used per applicable CGIAR Policies and the relevant Subgrantee's policies and procedures.

**Standards.** Activities are to be conducted under high standards, set regarding internationally accepted practices, and per applicable laws and regulations.

**Environmental safety.** Funds are to be used with due regard to environmental sustainability. Activities are to be carried out per local legislation, good international industry practices, and the relevant entities' environmental processes and requirements.

**Efficiency.** Costs incurred are to be reasonable, allocable, allowable, and assignable.

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\(^1\) If the project was implemented during less than three months (e.g., start date in November), the annual technical report may be waived with written permission from GIZ.

\(^2\) Annual reports should cover the results of the past calendar year. Final reports should cover the results aggregated over the entire implementation period.
**Procurement** is to be conducted using the most recent CGIAR Financial Guidelines under the basic principles of (i) equal treatment and non-discrimination, (ii) competition, (iv) predictability, (v) transparency, (vi) verifiability, and (vii) proportionality.

**Accounting records.** Books, records, documents, and other evidence are to be maintained in accordance with applicable accounting policies, separating and reflecting sources and use of funds. Records evidencing expenditures are to be retained for at least seven years after the final report has been provided.

**Financial Irregularities** All necessary measures are to be taken to avoid, prevent, and detect financial irregularities. In case there is any credible concern, the Main Grantee is to be informed and swift corrective action is to be taken.

**Conflict of Interest.** All reasonable and necessary measures are to be taken to avoid and detect any Conflicts of Interest. In case there is any credible concern, all necessary measures are to be taken to resolve the conflict.

**Insurance** is to be maintained to cover the activities, risks, and potential omissions as per generally accepted industry standards and as required by law.

**Responsibility to inform** the Main Grantee CIMMYT if substantial deviation from the approved proposal or agreed terms and conditions occur.

**Monitoring and auditing** of project activities and fund use need to be enabled, whether carried out by a Funder, the CGIAR System Organization, or the Main Grantee. Based on the size of the subgrant, audited financial statements may be required.

**Acknowledgment.** All communications products must acknowledge the support received from Funders per the CGIAR Branding Guidelines.

**Statement of Assurance** on adequate internal control systems may be required. Funds are not to be used directly or indirectly to support lobbying, political activities, bribes or inducement, drug or people trafficking, discrimination, child or labor exploitation or abuse, harassment, terrorism, or sanctioned activities or people.
V. Concept Note (Link), Full Proposal and Assessment Criteria
## Concept Note Score Card

Concept notes will be assessed using the following assessment guide and score card.

<table>
<thead>
<tr>
<th>Questions</th>
<th>Assessment guide</th>
<th>0</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Beneficiaries:</strong> Use Market Segment Dashboard</td>
<td>Breeding pipelines have a clear target product profile.</td>
<td>No Linkage</td>
<td>Partial linkage made</td>
<td>Linkages made but beneficiaries are unclear/missing data</td>
<td>Clear linkages with sex disaggregated data</td>
</tr>
<tr>
<td></td>
<td>The investment through the prioritized breeding pipeline significantly benefits women farmers, processors, or consumers</td>
<td>Not addressed</td>
<td>No data available and no pathway to obtain it</td>
<td>Addressed, but no convincing impact pathway and/or less than 50% women as beneficiaries</td>
<td>50% of beneficiaries of modernized breeding pipeline(s) are women with clear impact pathway</td>
</tr>
<tr>
<td><strong>Challenge:</strong></td>
<td>The investment is linked to recommendations by BPAT and/or the GI Initiative proposals and associated workplans.</td>
<td>No link to either BPAT or GI initiative proposals and workplans</td>
<td>Poor link to either BPAT recommendation or to GI workplan.</td>
<td>Link to BPAT recommendation or to GI workplan made, but further clarity required.</td>
<td>Very clear Linkages to BPAT recommendation or GI workplan.</td>
</tr>
<tr>
<td></td>
<td>The investment addresses critical bottlenecks for breeding pipelines that contribute to one or more of the <a href="#">five CGIAR Impact Areas</a>. There is a clear impact pathway from investment to improved breeding pipeline(s) to beneficiaries and associated Product Profiles including metrics and methods to monitor progress.</td>
<td>No impact pathway</td>
<td>Impact pathway is incomplete and/or does not include metrics to monitor progress</td>
<td>Impact pathway is defined but needs further refinement of metrics or methods</td>
<td>Impact pathway is convincing and includes metrics and methods to monitor progress (key performance indicators, KPI)</td>
</tr>
<tr>
<td><strong>Objective:</strong></td>
<td>The investment is likely to strengthen the performance of the breeding program or service unit, focusing on organizational change and/or modernization of distinct breeding</td>
<td>Not provided</td>
<td>The targeted element of the breeder’s equation is not clear. Achieving</td>
<td>Targeted elements of the breeder’s equation are described but could be clearer or impact</td>
<td>Description of target elements of the breeder’s equation clear and convincing,</td>
</tr>
<tr>
<td>Category</td>
<td>Description</td>
<td>Approach</td>
<td>Sustainability</td>
<td>Gender</td>
<td>Budget</td>
</tr>
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<tr>
<td>practices that are relevant to accelerate genetic gain. It describes why and how such investments are relevant to accelerate genetic gain</td>
<td>significantly improved performance is unlikely.</td>
<td>on predicted rate of genetic gain rates not significant.</td>
<td>predicted increase in rate of genetic gain is likely to be significant and corresponds to the target Product Profiles.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Approach:</td>
<td>Proposed methodology is realistic and appears effective. Responsibilities within institutions and timeline are clearly defined with intermediate measurable milestones.</td>
<td>Not provided</td>
<td>Responsibilities and timelines are poorly defined, no measurable milestones</td>
<td>Responsibilities and timelines are clearly defined with measurable intermediate milestones</td>
<td></td>
</tr>
<tr>
<td>Sustainability:</td>
<td>There is a plan in place for how the improvement will be physically and financially maintained, people trained, and health, safety, and environment (HSE) implications addressed.</td>
<td>Not described</td>
<td>Low likelihood, e.g. expansion in nature, plans not fully developed or lack critical resourcing strategy</td>
<td>Medium likelihood; critical investment but improvement may be at risk of not being sustained or of creating future requirements for funding do not appear to have been adequately planned.</td>
<td>High likelihood, investment is strategic and well aligned with CGIAR and NARES network capacity to be sustained after investment period</td>
</tr>
<tr>
<td>Gender:</td>
<td>50% of beneficiaries are women smallholder farmers/ processors/ consumers, clear pathway to empower women/youth/marginalized groups farming, supply chains and/or as consumers/household members.</td>
<td>Not mentioned</td>
<td>Women beneficiaries are not considered</td>
<td>Less than 50% of beneficiaries are women</td>
<td>50% of beneficiaries are women</td>
</tr>
<tr>
<td>Budget:</td>
<td>The budget is broken down by appropriate cost components which are well aligned to the proposed activities. CAPEX, training and re-training, staff/consultant time, operational expenses, and indirect costs (max 15%).</td>
<td>Key budget items are missing</td>
<td>Budget items complete, but do not follow CtEH guidelines, e.g. budget appears to be supporting routine breeding requirements</td>
<td>Budget items are complete, but some items appear to be unrealistic or lack justification</td>
<td>Convincing budget that includes cost components, clearly is a “one-off investment” aligned with the purpose for these funds.</td>
</tr>
</tbody>
</table>
Written communication containing summary decision by the review panel will be provided to all concept note submissions at the end of the review period. Refer to Approval Process under Section II for timelines.

**Full Proposal Score Card**

An Assessment guide on responses to Questions is provided for reviewers. Proposals will be assessed using the following score card and criteria. *The full proposal score card is still a draft and subject to change after the concept note submission. Changes will be published on the website.*

<table>
<thead>
<tr>
<th>Questions</th>
<th>Assessment guide</th>
<th>SCORE: N/A = not available/not provided, 1 = weak, 2 = satisfactory, 3 = strong</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>BENEFICIARIES &amp; IMPACTS</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Beneficiaries:</strong></td>
<td>The investment creates benefits beyond the organization that applies for these funds and places the investment in the larger context of CGIAR-NARES breeding networks.</td>
<td>N/A</td>
</tr>
<tr>
<td><strong>Gender:</strong></td>
<td>50% of beneficiaries are women smallholder farmers, clear pathway to empower women/youth/marginalized groups farming, supply chains and/or as consumers/household members.</td>
<td>Not mentioned</td>
</tr>
<tr>
<td><strong>CGIAR Impact areas:</strong></td>
<td>Clear impact pathway linking the investment to the beneficiaries in one or more of the <a href="#">five CGIAR Impact Areas</a>. (Gender and Climate should be prioritized)</td>
<td>Not mentioned</td>
</tr>
<tr>
<td><strong>Climate - operations:</strong></td>
<td>The investment contributes to climate change mitigation through e.g., higher energy efficiency, solar panels, water saving for irrigation, etc.</td>
<td>Not mentioned</td>
</tr>
</tbody>
</table>
### Climate - outcomes:

- The proposed modernization of the breeding pipeline(s) contributes to climate change adaptation or mitigation for beneficiaries.

<table>
<thead>
<tr>
<th>Not mentioned</th>
<th>Mentioned, but outcomes not clearly described</th>
<th>Some plausible plans available, can be improved</th>
<th>Climate outcomes supported by clear impact pathway</th>
</tr>
</thead>
</table>

### MODERNIZATION GOALS

<table>
<thead>
<tr>
<th>MODERNIZATION GOALS</th>
<th>N/A</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Genetic gain:</td>
<td></td>
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</tr>
<tr>
<td>The investment improves element(s) of the breeder’s equation to achieve higher rates of genetic gain for the traits of the prioritized product profiles relevant to beneficiaries. The estimates are supported by solid data.</td>
<td>Not mentioned</td>
<td>No S.M.A.R.T. goals for improvement, no explanation why higher rates of genetic gain or attributes are being improved</td>
<td>Some explanations available on genetic gain improvement, S.M.A.R.T. criteria need improvement</td>
<td>Clear explanation for improving genetic gains or attributes, supported by S.M.A.R.T. criteria</td>
</tr>
<tr>
<td>Organizational change:</td>
<td>Not mentioned</td>
<td>Mentioned but not described</td>
<td>Minimal commitment to organization changes, vaguely described</td>
<td>Convincingly coupled to organizational change with clear explanation how this leads to higher efficacy or cost savings</td>
</tr>
<tr>
<td>Gender:</td>
<td>Not mentioned</td>
<td>Not addressed, no explanation as to why not</td>
<td>Addressed, but goals are not sufficiently S.M.A.R.T.</td>
<td>Sufficiently addressed with S.M.A.R.T. goals</td>
</tr>
</tbody>
</table>

### IMPLEMENTATION

<table>
<thead>
<tr>
<th>IMPLEMENTATION</th>
<th>N/A</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organizational change management:</td>
<td>Not mentioned</td>
<td>Poorly conceived</td>
<td>Can be optimized, some missing elements</td>
<td>Well-conceived</td>
</tr>
<tr>
<td>Skills:</td>
<td>Not mentioned</td>
<td>Poor assessment</td>
<td>Adequate skill assessment, incomplete in some areas</td>
<td>Well evidenced assessment</td>
</tr>
<tr>
<td>Training:</td>
<td>If needed, a training plan (gender-disaggregated) for the investment has been established and is budgeted for.</td>
<td>Not mentioned/ Not applicable</td>
<td>Poor or inadequate training plans</td>
<td>Training plan is well defined, but lacks sustainability</td>
</tr>
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</tr>
<tr>
<td>Gender:</td>
<td>The training plan aims for 50% of trainees being female or a realistic (S.M.A.R.T.) plan is provided how to achieve this during the time of investment.</td>
<td>Not mentioned</td>
<td>No S.M.A.R.T. goals</td>
<td>Can be optimized</td>
</tr>
<tr>
<td>Health, safety &amp; the Environment:</td>
<td>Responsibilities for developing, maintaining, implementing and updating SOPs for safeguarding Health, Safety and Environment are clearly defined.</td>
<td>Not mentioned</td>
<td>No S.M.A.R.T. goals</td>
<td>Can be optimized</td>
</tr>
<tr>
<td>Risks: What risks may occur with implementing this modernization and how will they be managed or mitigated?</td>
<td>Potential risks (corruption, weather, staff, etc.) are identified, and a mitigation plan exists.</td>
<td>Not mentioned</td>
<td>Risks identified but no mitigation plans</td>
<td>Risks identified, some mitigation plans available, can be further improved</td>
</tr>
<tr>
<td>SUSTAINABILITY</td>
<td>N/A</td>
<td>1</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Economic/financial:</td>
<td>There is a clear plan how the investment will be sustained financially for the next 10 years.</td>
<td>Not mentioned</td>
<td>Plans to sustain investment not fully developed</td>
<td>Financial sustainability for proposed investment beyond project period is not clear</td>
</tr>
<tr>
<td>Staff/services</td>
<td>There is a clear plan how the investment will be sustained through staff, training, services. E.g., Who is providing maintenance for the next 10 years?</td>
<td>Not mentioned</td>
<td>Staffing and personnel plan not fully developed</td>
<td>Staffing and training plans available, but sustainability beyond project period is unclear</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>addressed as a tool to enable sustained, continuous improvement</td>
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</tr>
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</table>

Written communication containing summary decision by the review panel will be provided to all full proposal submissions at the end of the review period.