



Ministry of Water,  
Sanitation and Irrigation



**WaterFund**

Financing the Water Sector  
Water Sector Trust Fund

# Water Sector Research and Innovation Financing Framework and Policy







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# Foreword



The Constitution of Kenya 2010, under Article 43, acknowledges the right to access clean and safe water and sanitation as a basic human right for every Kenyan. This is further emphasized by the Sustainable Development Goal number 6 to which the Government of the Republic of Kenya has committed to ensuring availability and sustainable management of water and sanitation for all. The Water Act 2016, under which Water Sector Trust Fund was established, expanded WaterFund's mandate to mobilize resources for the financing of research initiatives in areas of water and sanitation provision, sewerage, and water resources management.

In the realization of this expanded mandate, WaterFund has progressively aligned its functions as well as revised its Strategic Plan 2018-2022 in line with: the Vision 2030 blueprint; Medium Term Plan III; Sectoral Plans; and Ministry of Water & Sanitation and Irrigation Strategic Plan 2018-2022. The development of the Research and Innovation Financing Framework, through collaborative and consultative processes, underscores the need to address gaps in the delivery of quality water and sanitation services in addition to sustainable water resources management

The objectives of the Framework are to guide on the mobilization of resources for investment in the financing of scalable research and innovation initiatives; and utilization of the resources and management of the funded initiatives. This will ensure that the objectives provide innovative, practical, and cost-effective solutions that address challenges in the water sector, and contribute to the generation of new knowledge in the sector. The funded research and innovation initiatives under this Framework will align to the operations and policies of WaterFund, as well as meet the regulations of local and international research standards, set out by entities mandated with oversight and regulation of research and innovations.

The Board of Trustees, management, and staff of WaterFund present this Framework to the stakeholders, as a platform for engagement in the generation of new knowledge, through research and innovation in the water sector for the realization of sustainable water and sanitation provision. I would like to call upon our partners to support the implementation of the strategies laid out in this Framework to build and strengthen research and innovation for the growth in the sector.

**Amb. Dr. Mary M. Khimulu, MBS**  
Chairperson

# Acknowledgment



The Water Sector cuts across all sectors of the economy and as such recognized under the three pillars of Vision 2030. As an enabler to the achievement of both the Social and Economic Pillars, sustainable provision of water, sanitation, and water resources management largely depend on research and innovation to generate new knowledge and innovative frontiers. Further, the research and innovation would also advocate for a paradigm shift in the initialization and execution of projects in the water sector based on solid research.

The Country's water endowment continues to diminish both in quality and quantity due to the negative effects of climate change. In addressing this myriad of challenges, smart solutions through innovation would be necessary going forward. Therefore, the objectives of this Financing Framework not only has the potential of containing the effects posed by these challenges but also reverses the manifestation of the effects of the challenges.

The Framework highlights the processes of the funding cycle, research knowledge dissemination and utilization, scalability of innovations, resource mobilization, and stakeholder engagement.

The implementation of this Framework, in line with the relevant policy guidelines, will support the water sector in addressing knowledge gaps and the adoption of innovative service delivery models. Therefore, WaterFund encourages collaborations that will support the realization of the objectives set out in this Framework, which has been developed through a consultative process to capture the contributions of stakeholders. WaterFund expresses its gratitude to the Ministry of Water, Sanitation and Irrigation leadership, Board of Trustees, management, staff, stakeholders, and consultants who actively participated and contributed to the preparation of the Research and Innovation Financing Framework and Policy.

A handwritten signature in blue ink, appearing to read 'Ismail Fahmy M. Shaiye', with a long horizontal line above it.

**Ismail Fahmy M. Shaiye**  
Chief Executive Officer

# Preface

The Water Act 2016 mandates Water Sector Trust Fund to finance Research activities in the areas of water resources management and water services, sewerage, and sanitation. This document presents the implementation framework within which this mandate is to be realized. The Research and Innovation Financing Framework consists of eight (8) main sections as highlighted below:

**Chapter One:** This chapter gives an overview of the Water Sector Trust Fund (Here to referred as WaterFund) legal framework including background information, the Water Act 2016, Research Mandate, link to National and International Development Plans and Policies, Overall Organization of Research in the Water Sector, WaterFund Research Institutional Setup, Research and Innovation Scope

**Chapter Two:** This is the core chapter of the document. It describes the funding application and appraisal and decision-making process as well as the disbursements and administration frameworks.

**Chapter Three:** This chapter describes the dissemination and utilization of resultant research and innovations including strategies for research dissemination, research findings dissemination tools, policy brief requirements, research finding dissemination strategies, and utilization.

**Chapter Four:** Concept scaling-up is described in this chapter detailing the scaling-up framework, scale of levels of scaling up, and stages such as scale-up plan, pre-conditions for scaling up, and implementing the scale-up process.

**Chapter Five:** This chapter describes the monitoring, evaluation, accountability and learning (MEAL) consisting of MEAL Framework, scale-up monitoring, evaluation accountability and learning, grantee reporting and monitoring, performance management, progress, and financial reporting.

**Chapter Six:** The chapter explains resource mobilization goals, resource mobilization strategies, resource mobilization gaps mapping, research and innovation budget, and revenue sources.

**Chapter Seven:** The chapter focuses on the strategic partnership framework, strategic partnering assessment through organizational assessment, partner selection process, partnership building and maintenance, and key partner engagement plan.

**Chapter Eight:** This chapter highlights the implementation policy and legal framework for research and innovation, details the research and innovation policy and research, and data management policy.

**Annexes:** This chapter describes in detail additional guidelines on research committee terms of reference (TOR), concept note outline, full proposal templates, evaluation scoring sheet for concept note, a priority list of approved concept notes, evaluation form for project proposal, code of conduct for independent evaluation experts, conflict of interest and confidentiality declaration, and procedures for remote appraisal, resource mobilization gap analysis and resource plan, scalability assessment tool, sample funding contract and end of project report format.

# Abbreviations and Acronyms

CBO	Community Based Organization
CEO	Chief Executive Officer
CG	County Government
CN	Concept Note
CPS	Certified Public Secretary
CSR	Corporate Social Responsibility
FP	Full Proposal
GOK	Government of Kenya
IWA	International Water Association
KES	Kenya Shillings
KEWI	Kenya Water Institute
MEAL	Monitoring, Evaluation, Accountability and Learning
MWSI	Ministry of Water, Sanitation and Irrigation
NACOSTI	National Commission for Science, Technology and Innovation
NGO	Non-Governmental Organization
PR	Principal Researcher
RC	Research Committee
RFPs	Request for Proposals
TOR	Terms of Reference
Water Act	Water Act 2016
WASREB	Water Services Regulatory Board
WaterFund	Water Sector Trust Fund
WRA	Water Resources Authority
WSPs	Water Services Providers
WRUAs	Water Resources User Associations
WWDAs	Water Works Development Agencies

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# 1 Introduction



## 1.0 Introduction

Kenya's water sector has experienced remarkable reforms over the years to ensure the country achieves its aspirations concerning access to clean water and sanitation by the citizens. These reforms are anchored on the Water Act 2016 that was operationalized through a Gazette notice on 21st April 2017. The Act sought to align the Water Sector to devolution as adopted in the Constitution of Kenya 2010. The Act recognizes that water-related functions are a shared responsibility between the national and county governments, and prioritizes the use of abstracted water for domestic purposes over irrigation and other uses as opposed to the previous act. The Act provides for affirmative action programs in water and sanitation access to ensure improved water and sanitation access for underserved and marginalized Kenyans. There are 9 institutions established by the Water Act 2016.

### Financing Framework Objectives

The WaterFund mandate to finance research and innovation in the areas of water supply, sanitation,

sewerage and water resources is aimed to assist the Fund and the Kenyan water sector as a whole in identifying and utilizing innovative solutions for the water sector.

The general objective is to provide a platform for engagement in the generation of new knowledge, through financing of research and innovation in the water sector for the realization of sustainable water, sanitation and sewerage service provision in addition to water resources management.

Specific objectives are to guide in:

- Financing of incubation research ideas/ innovations
- Mobilization of resources; utilization and management of funded initiatives
- Dissemination of results that contribute to generation of new knowledge in the sector

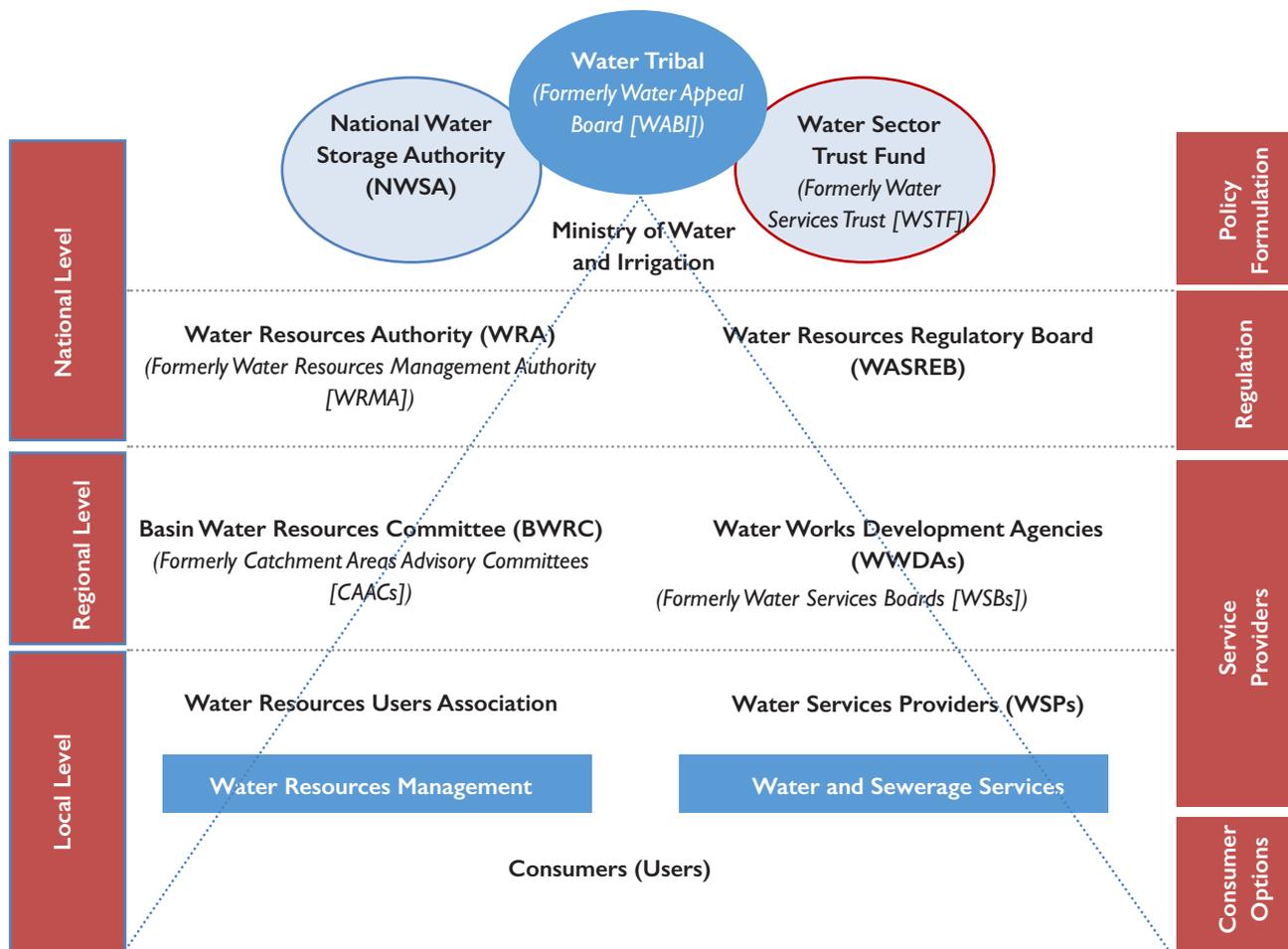


Figure 1: Institutional Framework for the Kenyan Water Sector

Source: MWSI

Table 1: Water Sector institutions and their functions

<b>Institution</b>	<b>Function</b>
Water Tribunal	<p>The Tribunal hears and determines appeals at the instance of any person or institution directly affected by the decision or order of the Cabinet Secretary, the Authority and Regulatory Board or of any person acting under the authority of the Cabinet Secretary, the Authority and Regulatory Board.</p> <p>In addition, the Tribunal has the power to hear and determine any dispute concerning water resources or water services where there is a business contract, unless the parties have otherwise agreed to an alternative dispute resolution mechanism.</p>
Water Sector Trust Fund	<p>The object of the Fund is to provide conditional and unconditional grants to counties, in addition to the Equalisation Fund and to assist in financing the development and management of water services in marginalized areas or any area which is considered by the Board of Trustees to be underserved.</p>
National Water Storage Authority	<p>The Authority undertakes on behalf of the national government, the development of national public water works for water resources storage and flood control; maintain and manage national public water works infrastructure for water resources storage; collect and provide information for the formulation by the Cabinet Secretary of the national water resources storage and flood control strategies; develop a water harvesting policy and enforce water harvesting strategies; undertake on behalf of the national government strategic water emergency interventions during drought.</p>
Water Resources Authority (WRA)	<p>The WRA formulates and enforces standards, procedures and Regulations for the management and use of water resources and flood mitigation; regulates the management and use of water resources; enforces Regulations; receives water permit applications for water abstraction, water use and recharge and determine, issue, vary water permits; and enforce the conditions of those permits; collects water permit fees and water use charges; determine and set permit and water use fees; provide information and advice to the Cabinet Secretary for formulation of policy on national water resource management, water storage and flood control strategies; coordinate with other regional, national and international bodies for the better regulation of the management and use of water resources.</p>
Water Services Regulatory Board	<p>WASREB protects the interests and rights of consumers in the provision of water services, while ensuring other stake-holders interests are also safeguarded.</p> <p>WASREB sets standards and enforces regulations that guide the sector in not only ensuring that consumers are protected and have access to efficient, affordable and sustainable services, but also, provide for financial sustainability of Water Service Providers (WSPs), by allowing financing of operations, capital cost recovery and a return on capital that sustains services through ongoing investments approves tariffs, monitor and enforce water services standards and issue licenses to Water Service Providers.</p>
Basin Water Resource Committee	<p>BWRC was formed to manage catchments, to facilitate the establishment of Water Resource User Associations, and to play an advisory role to the WRA.</p>
Water Resource User Associations (WRUAs)	<p>Community-based associations for collective management of water resources and resolution of conflicts concerning the use of water resources</p>
Waterworks Development Agencies (WWDAs)	<p>Responsible for development, maintenance, and management of national public works; operation of the national public waterworks and provision of water services as a water service provider, until the responsibility for the operation and management of the waterworks is handed over to the county government, joint committee; and provision of technical services and capacity building to county governments and water service providers within its region.</p>
Water Services Providers (WSPs)	<p>Responsible for provision of water services within the area specified in their licenses and development of county assets.</p>

## 1.1 The WaterFund Mandate

The Water Act 2016 states that the object of the Fund is to provide conditional and unconditional grants to counties, in addition to the Equalization Fund and to assist in financing the development and management of water services in marginalized areas or any area which is considered by the Board of Trustees to be underserved including:

- a) Community-level initiatives for the sustainable management of water resources;
- b) Development of water services in rural areas considered not to be commercially viable for provision of water services by licensees;
- c) Development of water services in the under-served poor urban areas; and
- d) Research activities in the area of water resources management and water services, sewerage, and sanitation.

## 1.2 Link to National and International Development Plans and Policies

The Fund is a public institution that seeks to further the national objectives of Kenya in line with its mandate. As such, it subscribes to the goals and ideals of national programs and Kenya's international commitments.

### The Constitution of Kenya 2010

The Constitution of Kenya is the supreme law of the Republic of Kenya and binds all persons and all State organs at both levels of government. Concerning the Water Sector, the Constitution provides for:

- (a) Articles 6, 174, 175 and 176, create a system of devolved government with a two-tier system of government comprising of the national and county government. The responsibility to manage water resources is retained by the national government, but the responsibility to provide water supply and sanitation services is allocated to the county government. The function of 'public investment' is allocated to the national government but, at the same time, the county government has the responsibility for 'public works'.
- (b) Article 204 provides for the reduction of inequality in service provision through the establishment of an Equalisation Fund into which 0.5% of national revenue shall be paid. The fund shall only be used to provide basic services including water, roads, health facilities, and electricity to marginalized areas to the extent necessary to bring the quality of those services in those areas to the level generally enjoyed in the rest of the nation, so far as possible.

- (c) Article 10 (2) provides for the national values and principles of governance. They include; human dignity, equity, social justice, inclusiveness, equality, human rights, non-discrimination, and protection of the marginalized communities.
- (d) Article 62 provides for the water resource ("water catchment areas", "all rivers, lakes and other water bodies as defined by an Act of Parliament") to be vested in and be held by the national government in trust for the people of Kenya.
- (e) Article 43 entrenches water as a constitutional right by establishing a right to "reasonable standards of sanitation" and "clean and safe water in adequate quantities" and Article 21 obligating the government to take steps to progressively realize this right.

Thus, the provision of water and sanitation services to the marginalized is envisioned in the constitution and the WaterFund plays a key role to ensure this is achieved.

### Vision 2030

Vision 2030 charts the Country's development path for the period 2008 to 2030. The blueprint aims at transforming the Country into a universally competitive middle-income nation by the year 2030. It is based on three "pillars": the economic, social, and political pillars. The social pillar seeks to build a just, cohesive society with social equity in a clean and secure environment. In support of the social pillar, the Fund will support the provision of water to poor under-served areas including informal settlements. The general objective of the Environment, Water, and Sanitation Sector as sketched out in the Vision is to achieve "a secure, sustainable and clean environment" by 2030.

Also, WaterFund will work with other stakeholders to support water resource management and relevant conservation measures not only to improve quantity and quality of water from sources but also to enhance governance and participatory approaches for Integrated Water Resource Management and conservation practices.

### Medium Term Plan III (MTP III)

The Vision 2030 is implemented through five (5) year Medium Term Plans (MTPs) and the nation is currently executing the third Medium Term Plan (III) for the period 2017/18 to 2021/2022. The MTP recognizes the key policy activities and projects for every Ministry, Department and Agency (MDAs) in every Vision 2030 execution period. The goal of the Environment, Water, and Sanitation Sector is to enhance a clean, safe, and sustainable environment, natural resources, and access to water and sanitation services for all Kenyans.

The Sector is expected to be a fundamental social pillar to Kenya's economic growth, as it plays a critical role in securing and enabling natural resources as an investment in this sector. Therefore ensures the delivery of direct and indirect goods and services that are the backbone for the main productive sectors namely the Agriculture, Tourism, Manufacturing, and Energy sectors that present great potential in the attainment of the targeted annual GDP growth rate of 10% as stipulated in the Kenya Vision 2030.

### Sustainable Development Goals (SDGs)

The United Nations (UN) affirms that access to clean water and sanitation facilities is a basic human right. To facilitate the achievement of this right, 17 Sustainable Development Goals (SDGs) were established by the UN General Assembly in 2015. SDG Goal 6 is one of the goals adopted by all UN nations with a rallying call for clean water and sanitation for all people. It seeks to "Ensure availability and sustainable management of water and sanitation for all."

Key targets in the achievement of the SDG6 include:

- a) By 2030, achieve universal and equitable access to safe and affordable drinking water for all.
- b) By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations.
- c) By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing the release of hazardous chemicals and materials, halving the proportion of untreated wastewater, and substantially increasing recycling and safe reuse globally.
- d) By 2030, substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity.
- e) By 2030, implement integrated water resources management at all levels, including through transboundary cooperation as appropriate.
- f) By 2020, protect and restore water-related ecosystems, including mountains, forests, wetlands, rivers, aquifers, and lakes.
- g) By 2030, expand international cooperation and capacity-building support to developing countries in water and sanitation-related activities and programs, including water harvesting,

desalination, water efficiency, wastewater treatment, recycling, and reuse technologies.

- h) Support and strengthen the participation of local communities in improving water and sanitation management.

### National Water Master Plan 2030

The National Water Master Plan 2030 was launched on 26th March 2014. The plan had three (3) components:

- a) Water supply
  - Increase coverage of improved water supply to 100% for both urban and rural areas,
  - Increase coverage of piped water supply by registered (WSPs) to 100% for the urban population,
  - Increase unit water supply amount to the suitable national standard level,
  - Decrease NRW rate to 20% for efficient water use.
- b) Water resources
  - To meet all the water demands projected for the target year 2030 including domestic, industrial, irrigation, livestock, wildlife, and inland fisheries water demands, and hydropower use.
- c) Environmental management
  - To minimize the negative impact of water resource development activities on the natural environment.

## 1.3 Overall Organization of Research in the Water Sector

Research and Innovation in the water sector is championed by the Ministry of Water, Sanitation and Irrigation (MWSI) to facilitate research in fields related to water resource utilization, water services, sanitation and sewerage services. MWSI supports and strengthens the participation of local communities in improving water resources management in the basins by developing robust policies for implementation.

## 1.4 WaterFund Research Institutional Setup

The research function by the WaterFund falls under the Knowledge Management and Research Division within the Department of Planning and Quality Management. The Division is interdependent in supporting the functions of the other divisions and departments in accomplishing the WaterFund mandate.

## 1.5 Research and Knowledge Management Division

The Division fulfils its mandate by discharging the following functions as detailed below: -

- i. Coordinate corporate research institutional assessments and studies,
- ii. Coordination of the learning and growth function in the Fund,
- iii. Maintain the Fund's information and documentation centre,
- iv. Coordination of the provision of public information on the Fund's investment programs, impacts, and outcomes,
- v. Publish the annual impact report and other relevant reports,
- vi. Publish annual sustainability assessment reports,
- vii. Plan and coordinate research activities and surveys in the area of water resources management, water services, sewerage, and sanitation in collaboration with programs, and policy framework.
- viii. Facilitate compilation and timely dissemination of various program reports,
- ix. Develop and maintain the WaterFund Project Management Information System.
- x. Coordinate mapping of WaterFund investments and management of the Geographic Information Systems,
- xi. Coordinate the implementation and ensure compliance with Information Security Management System,
- xii. Promote evaluation and Learning through documentation of best practices, sharing of lessons learned, and provide recommendations on modifications,
- xiii. Identify, register, and manage the Funds Intellectual property,
- xiv. Coordinate innovation initiatives in the Fund,
- xv. Coordinate the information management functions in the Fund.

## 1.6 Research and Innovation Scope

### Thematic Areas in Water Research

#### i. Water resources

The main source of groundwater contamination in Kenya includes industrial discharge, urban influent, agriculture, and salinization from solid water intrusion.

#### ii. Water services

Rains in Kenya are not consistent year-round. This leads to failed rains resulting in a shortage of water seen through the pronounced water shortage in major cities and their environments. The availability of water in rural areas is also one of the greatest challenges with water shortage affecting water for irrigation and domestic use.

#### iii. Sanitation Management

The lack of water in Kenya is aggravated by insufficient treatment of water and wastewater, particularly with rapid population growth and urbanization, sanitation management value chain, and sanitation systems. Major areas of concern include domestic wastewater, agricultural pollution, industrial wastewater, and solid waste pollution.

#### iv. Sewerage services

Research and innovation in the areas of sewerage disposal, sewerage infrastructure and management.

## 1.7 Specific Projects/Activities

The WaterFund will support individual, firms, or consortium grants, ranging from Kshs 1M to 15M, and may adjust this range as is needed. Depending on project outcomes, grantees may be able to apply for and receive more funding following the completion of the first grant. The WaterFund may consider funding grantee on activities geared towards:

### i. Enhancing Water Services

Research under this theme may include:

- a) Improve the integrity of drinking water distribution systems
- b) Development of new and innovative water supply enhancing technologies
- c) Develop innovative techniques for water pollution prevention.
- d) Improve scientific bases for risk assessment and management in water quality.
- e) Water management and Sustainability
- f) Water and Social Inclusiveness
- g) Water management and poverty reduction
- h) Water service delivery solutions
- i) The role of the private sector in rural water management
- j) Understand user-organized institutions for water distribution such as Water Resources Users Associations (WRUAs) and water and sewage companies.

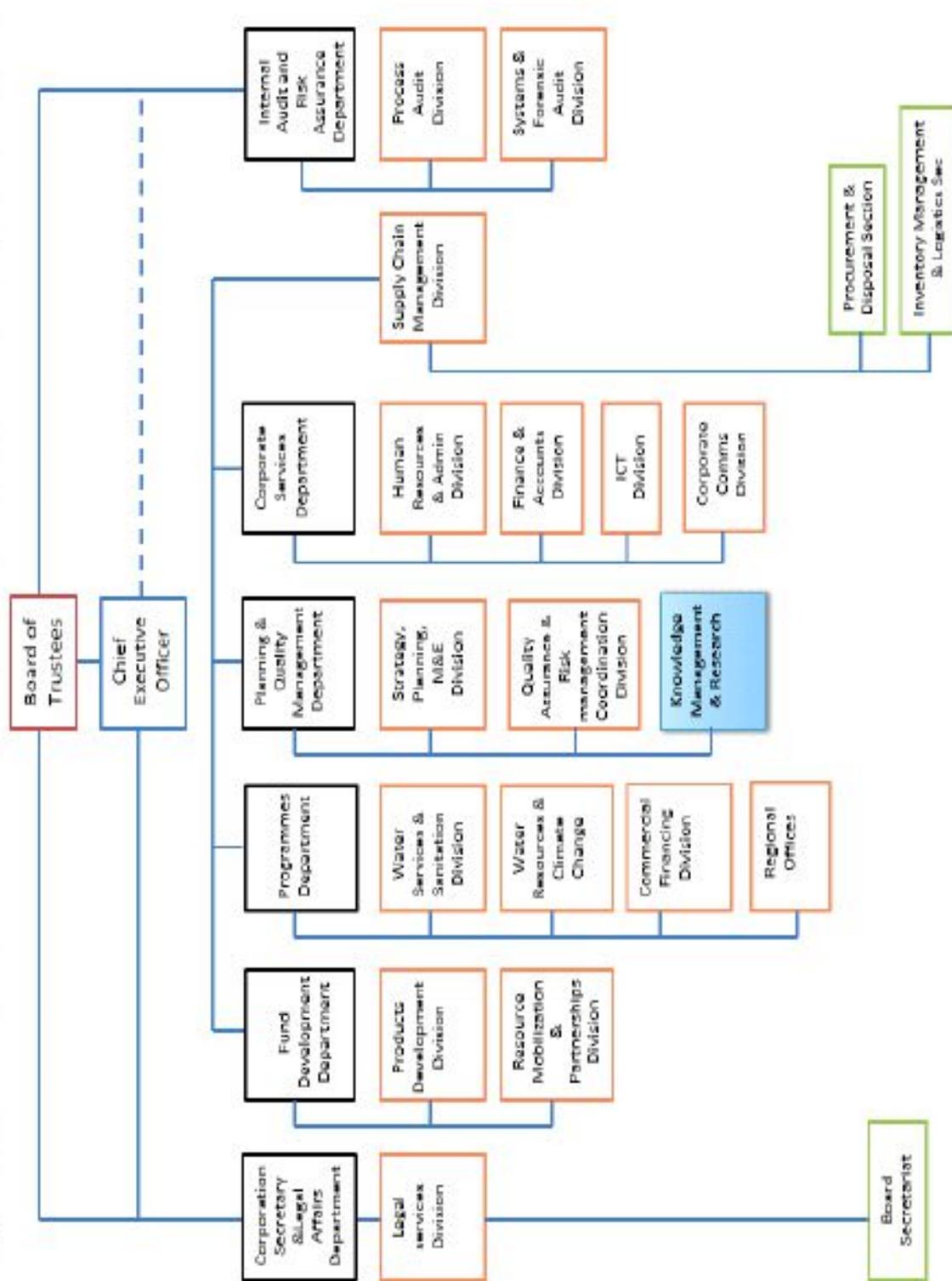


Figure 2: WaterFund Organization Structure  
Source: WaterFund

## ii. Sewerage Services

- a) Sewerage disposal services
- b) Flushable wipes and collection systems
- c) Sewerage treatment
- d) Energy production and conservation
- e) Residuals and Biosolids management

## iii. Sanitation Services

Studies under this theme may include:

- a) Increasing the safety of wastewater treated for reuse.
- b) Development of urban sanitation alternatives
- c) Improvement of existing water treatment approaches
- d) Solid waste management
- e) Surface water drainage development
- f) Community-level excreta management
- g) Hand washing solutions and promotion
- h) Pit latrine lining and safety
- i) Sanitation services research
- j) Waste storage and transportation
- k) Support for sanitation governance
- l) Sanitation management policy
- m) Sewerage disposal systems

## iv. Water Resources

Considered topical issues may include:

- a) Develop new methods for estimating the value of non-marketed attributes of water resources.
- b) Develop efficient markets and market-like arrangements for water.
- c) Development of water management models to understand the role of prices, pricing structures, and the price elasticity of water demand.

- d) Understand the role of the private sector in achieving the efficient provision of water and wastewater services.
- e) Understand key factors that affect water-related risk communication and decision processes.
- f) Understand cultural and ethical factors associated with water use.
- g) Conduct research to evaluate the strengths and weaknesses of past water policies and projects.
- h) Development of policy that promotes groundwater management and integrated use of surface water and groundwater.
- i) Understanding issues related to the governance of water where it has a common pool and public good attributes.
- j) Water rights in respect to Kenyan Forest Indigenous communities.
- k) Improve equity in existing water management laws.
- l) Conduct comparative studies of water laws and institutions.

## 1.8 Non-Eligible Projects

The WaterFund will not support the following characteristics making them ineligible for funding:

- a) One-time and recurring operational or administrative costs of ministries, agencies, departments.
- b) Salaries for executive officers or core organization staff.
- c) Projects not consistent with the object of the WaterFund's Research and Innovation.
- d) Projects related to political activities.
- e) Projects that violate provisions of the Kenya Anti-corruption and Economic Crime Act 2012.
- f) Projects that have the potential of conflict of interest

# 2 Funding Application Process



## 2.0 Introduction

This chapter describes the funding application process. It explains the appraisal and decision-making process as well as the disbursements and administration frameworks. WaterFund adopts a two-stage application system.

## 2.1 Concept Note Application Process

### A. Call for Concept Notes

WaterFund will do a call for Concept Notes (CN) through the print media, its official website, and social media platforms. Where necessary or requested, the Fund will host workshops to inform potential grantees about the application process as a form of outreach and grantee cultivation.

The Request for CN will indicate the deadline by which all CNs for research and innovation funding shall be received to be eligible for funding during the funding cycle. An indicative timeline of when WaterFund expects to notify applicants of the final award of grant funding for the relevant funding cycle; and the maximum funding amounts available under the call for Concept Notes and the Grant funding period as well as the eligibility criteria. Throughout the CN solicitation process, the Fund will serve as a resource centre for potential grantees by responding to grantee queries about the Concept Note and the grant-application process.

### B. Concept Notes Receipt Process

The Fund will review CN submitted from potential grantees within four (4) weeks from the closing date.

The CN has to be submitted in the format provided by the Fund in Annex B. Applicants can submit their CN by e-mail, postal mail, courier, hand delivery, or electronic submission through the research portal.

If the CN is approved the applicant will be requested to submit a full proposal. Concept Notes which do not meet specifications should be returned to the applicant for further review.

The following documents are required to be submitted with the CN:

- a) A signed declaration by the applicant,
- b) Proof of existence and entity in the following forms: certificate of registration OR business name of the applicant organization OR National Identification documents for Masters/Ph.D./Post-Doctoral applicants.

## C. Preliminary Concept Note Review

A preliminary review will be done by the Knowledge Management and Research Division. The automated research application system will update the applicants on the review progress with the following details:

- a) CN title, acronym, and unique application identifier (CN application number).
- b) Research topic and call identifier to which the CN was addressed.

The CN must adhere to the WaterFund format as indicated in Annex B.

## D. Concept Note Appraisal

The received CN will be assessed by Division for eligibility according to the criteria outlined in Annex D. While the criteria are based on the Fund's goals, outcomes, and strategies, the Fund will also use process criteria to guide grant-assessment. General process criteria include the following Institutional capacity and track record of grantee:

- a) Past achievements of grantee,
- b) Strong organization leader,
- c) Previous successful projects.
- d) Measurable outcomes and innovation where the grant includes a well-articulated strategy and methods to measure/evaluate grant outcomes. The legal and financial status of the grantee.

The Division will then prepare a summary of each CN and a recommendation on whether the CN should be approved or rejected on the priority List (Annex E). To uphold a commitment to grantee learning, feedback will be provided to applicants whose CNs are deferred within four (4) weeks, explaining why their CN was not selected for the next stage of the process.

Deferred applicants will be encouraged to address the identified gaps for resubmission, so long as their application is in alignment with the Fund's eligibility criteria. Approved CN applicants will be invited to submit a Full Proposal (FP) by the Research Committee within four (4) weeks.

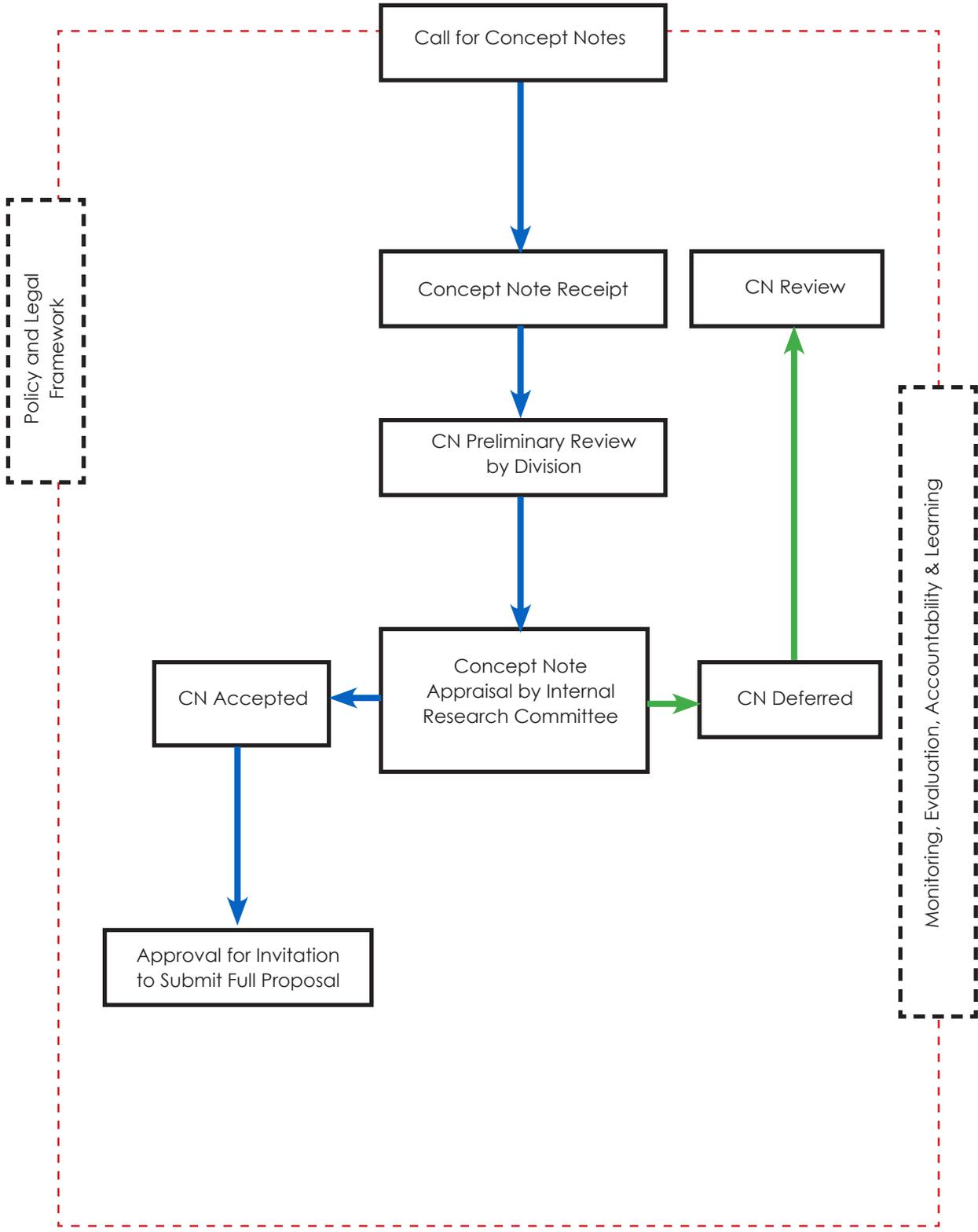


Figure 3: Concept Note application process  
 Source: WaterFund

## 2.2 Full Proposal Application Process

### A. Call for Full Proposals

Full Proposal submissions are invited from applicants who were successful at the Concept Note stage. WaterFund will make a call for Full Proposals through the print media, its official website, and social media platforms. The request for a full proposal will indicate the following information:

- a) Deadline by which all FP for the WaterFund grant funding shall be received to be eligible for grant funding;
- b) Notification of the timelines of the final award of grant funding;
- c) the maximum funding amounts available under the call);
- d) The grant funding period;
- e) Description of eligible applicants, research, and innovation projects.

The invited FP to be submitted should contain the following:

- a) A detailed description of the project
- b) Budget
- c) Project timeline
- d) A description of grantee qualifications
- e) The applicant must attach a research permit and letter of authorization to carry research from the National Commission for Science, Technology, and Innovation (NACOSTI).
- f) Any other components requested by the Research Committee.

### B. Submission of Full Proposals

Proposals will be accepted only in the manner prescribed in the Call. When submitting research proposals, applicants are required to adhere to all WaterFund's requirements and additional guidelines published along with each Call. Project proposals can be submitted either by e-mail, postal mail, courier, hand delivery, or electronic submission through the research portal. An electronic version of the research proposals must contain all required signatures and authentications.

Project proposals will be accepted within the set deadline (date and time) specified in the Call. After the deadline, the applicants cannot submit, amend, or modify project proposals. Packages containing proposals may be opened, on arrival, by WaterFund to register the administrative details on databases and to permit the return of an acknowledgment of

receipt. No evaluation or analysis of the proposal contents may take place before the call deadline has elapsed.

### C. Acknowledgement of Full Proposal Receipt

The Fund records the date and time of receipt of the FP. The automated research application system will update the applicants on the review progress with the following details:

- a) FP title, and unique application identifier (FP application number).
- b) Research topic and call identifier to which the FP was addressed.
- c) Date and time of receipt.

All submitted proposals are managed in a robust and secure information management system at all times. When no longer needed, all proposals are archived for reference according to the Information Management Act. Any appeals that require determinations are done as per the policy.

## 2.3 Preliminary Review by Knowledge Management and Research

### A. Requirements

Proposals for funding from the WaterFund may be received from the following entities:

- i. Public sector agencies dealing with water research and innovation.
- ii. Higher learning institutions conducting studies in water supply, sanitation, sewerage, and water resource management.
- iii. Local, regional, and international NGOs established, legally-registered, and existing in Kenya for no less than 5 years and with an established track record in water-related programs.
- iv. Private corporations or other companies from relevant industries involved in water-related services, water catchment protection, conservation, and/or monitoring. Private corporations must be established in Kenya for at least five (5) years.
- v. Local community associations or community-based bodies with a direct impact on water catchment ecosystem resources.
- vi. Other appropriate entities in Kenya working toward the vision, mission, and goals of the WaterFund.
- vii. County Governments.
- viii. Water services providers.

- ix. MSc, Ph.D., and post-Doctoral studies in water research and innovation.
- x. Collaborative Proposals from any of the eligible entities.

If more than one copy of the same proposal is received, only the last complete eligible version sent is evaluated. The decision to exclude a proposal for failing one or more eligibility criteria is taken by the External Research Committee. This decision may be taken before, during, or after the evaluation sessions, when ineligibility has been proven.

## B. Eligibility Assessment

The Fund verifies that all submitted proposals meet the eligibility criteria referred to in the Call. The criterion is rigorously applied and any proposal found to be ineligible is excluded from evaluation. An eligibility form is filled out for each proposal based on the information contained in the proposal to ensure fulfilment of set out criterion.

Where there is a doubt on the eligibility of a proposal, the Fund reserves the right to proceed with the evaluation, pending a final decision on eligibility. The fact that a proposal is evaluated in such circumstances does not constitute proof of its eligibility. When a proposal is received complete in both electronic and paper formats, only the electronic copy is treated as valid for evaluation purposes. Only proposals that fulfil all of the criteria are retained for evaluation.

## 2.4 Full Proposal Appraisal

### Overview

The core values of the WaterFund proposal appraisal process is to seek the highest level of research and innovation standards, and form the foundation for the regulations, and policies that govern the WaterFund proposal appraisal process. This process is intended to promote a procedure whereby funding applications submitted to the WaterFund are evaluated based on a practice that strives to be fair, equitable, timely, and free of bias.

The evaluation shall be done in a sitting or remotely. For remote evaluation, assessors shall follow the procedure for the remote appraisal (Annex I). Following the eligibility check, applications submitted in support of the WaterFund mission are evaluated for scientific and technical merit through the WaterFund's Proposal Appraisal system.

Appraisers will provide an overall impact score to reflect their assessment of the likelihood for the research and innovation project to exert a sustained, powerful influence on the research thematic area, in consideration of the appraisal criteria.

## B. The External Research Committee Review

The first level of review is carried out by a research review group composed primarily of researchers who have expertise in relevant scientific disciplines and current research areas. Appraisers evaluate the following items while determining scientific and technical merit and in providing an overall proposal analysis:

- i. The research project proposal was received on or before the stated deadline elapsed.
- ii. The proposal adheres to the required proposal and budget format.
- iii. The proposal requests funding within the award guidelines. If not, the Committee may consider the proposal if it is addressing emerging issues.
- iv. Unambiguous evidence identifying the individual and/or the entity that will be the Grantee of the funds with the capacity to undertake the research project.
- v. The proposal addresses the overall mandate and priorities of the Fund.
- vi. The research project being funded does not replicate established organizational activities such as scholarships, travel to annual meetings nor does it ask for funds that are excluded by the Fund such as travel and internships.

## C. Management Investment Committee Review

The MIC will appraise and make a recommendation to the WaterFund Management on every grant application that it receives after the level one screening by the External research committee. The MIC shall consider, but not be limited by, the following criteria in making its recommendations:

- i. Projects must be aligned with one of the WaterFund research focus areas. Research questions should inform programs, policies, and practices to address water supply, sewerage and sanitation services, water resources, and policy.
- ii. Projects should demonstrate sound theoretical grounding, sophisticated conceptualization, and relevance to policy or practice. The proposals must reflect a mastery of relevant theory and empirical findings, and clearly state the theoretical and empirical contributions they will make to existing knowledge. They should discuss how the findings will be relevant to practice.
- iii. Projects should employ rigorous methods that objectively achieve the proposal's goals. The research design should describe how the empirical work will test, refine, or elaborate on specific theoretical notions. The study's design, methods, and analysis plan should fit the research

questions. Sampling and measurement plans should clearly state why they are well-suited to address the research questions or hypotheses. For example, samples should be appropriate in size and composition to answer the study's questions. The quantitative and/or qualitative analysis plan should demonstrate awareness of the strengths and limits of the specific analytic techniques. Plans for integrating the methods and data need to be clear for mixed methods. Where relevant, attention should be paid to the generalizability of findings and to statistical power to detect meaningful effects.

- iv. Research plans must demonstrate feasibility. The methods, time frame, staffing plan, and other resources must be realistic. Prior training and publications should demonstrate that the applicant has a track record of conducting strong research and communicating it successfully.
- v. The applicant will see the written comments and scores from the assigned reviewers and discussants for each of the scored review criteria as feedback on their summary statement. The written comments of the ERC will also be taken into consideration in determining the decision on funding. The MIC will choose the best proposals based on the criteria in Annex F. The MIC will then prepare a summary of each grant proposal and a recommendation on whether the Board should approve or reject the proposal. Applications that receive enough scores according to the scoring guidelines will receive funding. Application scores will be compared against the funding limits for the fiscal year when the application will be considered for funding, which is not necessarily the year when it was submitted. The MIC provides a grant-funding plan to the Board of Trustees.

#### **D. Board Investment and Monitoring Sub Committee Review**

The Board Investment and Monitoring Sub-Committee will meet to deliberate on recommendations of the MIC on grantees based on available funds. The Board Committee will also consider the Fund's goals in the funding decisions. Successful proposals for funding approval will then be recommended by the committee to the Board Trustees for approval.

#### **E. Board of Trustees Approval**

The Board of Trustees would meet to approve successful grantees for funding. The members would have access to all successful applications. Upon approval, the successful applicant will work closely with WaterFund on administrative issues.

## **2.5 Grant Award**

### **A. Award Process**

Based on a review of all applicable information, if special conditions are required, applicants will be notified accordingly on the availability of the funding. Other considerations are portfolio balance, water supply, and sanitation need, programmatic relevance and Fund priorities.

### **B. Notice of Award**

The Notice of Award is the legal document issued to notify the grantee that an award has been made and that the applicant can enter into a funding contract with WaterFund. A Notice of Award is issued based on the approved budget. If there exists a variation the requests will be made through an official letter to the CEO with clear justification. The funding is also contingent on the availability of funds. The Notice of Award includes all applicable terms of the award either by reference or specific statements. It provides contact information for the assigned grants management administrator.

### **C. Accepting the Award**

The grantee accepts the WaterFund award and its associated terms and conditions. The grantee can proceed to sign a contract with WaterFund and request for funds. The contract shall be based on the format as outlined in Annex L.

### **D. Compliance with Terms and Conditions of Award**

Standard terms:

- I. Grant program regulation cited in this Notice of Award.
- II. Restrictions on the expenditure of the award funds in the appropriation act, to the extent those restrictions are pertinent to the award.
- III. The award notice including any special terms and conditions.
- IV. A reference to carryover authority when applicable
- V. A reference to inclusion or exclusion to the award as is applicable.

Special Terms and Conditions

- I. These are specific to the particular grant and require careful attention, particularly any specific to the grant.
- II. Unless these terms are carefully reviewed and addressed, grantees may unknowingly violate the terms and conditions of the award. In those cases, The Fund may restrict the award, institute

special monitoring procedures, or potentially terminate an award.

## 2.6 Fund Disbursements

Following the signing of the grant agreement by all parties, the first tranche of funding is disbursed to the grantee within 4 weeks. The grantee will receive the first installment at the beginning of the research or innovation project and will be entitled to request the next disbursement(s), by submitting a financial statement, as soon as the grantee has spent and accounted for 70 percent of the funds previously received.

### A. Disbursement basic guidelines

Once approved, the grant will be paid out directly to the grantee in Kenya Shillings. Bank charges shall be paid by the grantee. The grant will involve financial obligations on the part of the grantee who has the responsibility of reporting. The grant will be disbursed in three tranches as stipulated in the contract. The Fund will compare the progress reports with the anticipated progress in the Research Project Work Plan. Disbursement will depend upon adequate progress in terms of fulfilment of the agreed performance indicators. All grantees will be required to ensure that the expenditures are fundable, necessary, and reasonable for the conduct of the Research or Innovation project and verify claimed items with source documents, before submitting the funds' requisition to the Fund. All expenditure should be incurred based on invoice or service rendered and date within the tranche.

In general, prudence should be exercised for all research and innovation project costs, and expenditures claimed must comply with the grantee's internal procurement processes, guidelines, and policies. The Fund reserves the right to reject any claims that have resulted from changes to Research or Innovation project without prior approval from Fund and items found not to be fundable, not necessary, not reasonable, not relevant, or not used for the Research or Innovation project.

Funding of Research and Innovation projects' personnel under the grant must comply with prevailing and consistently applied human resource guidelines of the grantee. This will extend to the grantee's prevailing policies on associated human resources costs such as staff insurance, overtime claims, staff relocation, employment benefits, employment levy, employment pass, pre-examination medical check-up, housing allowance, service award, and recruitment associated cost. All project-related expenses shall be pro-rated taking reference from the project start date, except for lump-sum insurance claims, which shall be allowable

as claimed. As a general principle, staff costs should be charged based on the time commitment to the Research or Innovation project.

Details of Research and Innovation project personnel employed under the funding must be provided in the manpower listing, and continuously updated, including new additions and those whose service has ended. The grantees are allowed to make manpower changes such as increasing or decreasing in headcount, change in designation or scheme of hires, change in time commitment to the grant, as long as the changes are necessary for the Research or Innovation project, comply with the grantees' policies and does not exceed the grant. Continued payment, according to the disbursement plan, must be justified by reported expenditures in the monthly and annual fiscal reports. Payments are made directly to the grantee under the Disbursement Plan as indicated below:

#### a) First Tranche Payment

The payment of the first tranche is made following the WaterFund's receipt of the signed research grant agreement, but not earlier than 4 weeks before the start date. The grantee is expected to submit both project progress and financial reports with supporting documents every month.

#### b) Second Tranche Payment

The second tranche payment is made based on 70% reported and accounted for expenditure of the 1st tranche.

#### c) Final Tranche Payment

The final tranche payment is made after submission of end of project reports.

Table 2: Disbursement plan

SN	Tranche	Disbursement
1	First	30%
2	Second	40%
3	Final	30%

### B. Project Equipment

The grantee shall ensure the purchase of equipment necessary for the Research or Innovation project or activity supported by the Funding and is not otherwise reasonably available and accessible. For high-value equipment purchases, grantees are required to update the list of equipment acquired, as part of the annual progress report submission. The grantees are allowed to make changes within the project equipment vote, in terms of changes in quantity and changes in equipment, provided that these changes are:

- a) Necessary, relevant, and used for the Research and Innovation project;
- b) Do not constitute a change in Research and innovation project;
- c) Are kept within the approved equipment vote budget.

### C. Indirect Costs

Indirect costs in research and innovation are those costs that are incurred for common or joint objectives and therefore cannot be identified readily and specifically with a particular sponsored research project and or innovation project, but contribute to the ability of the grantee to support such research and or innovation projects such as providing research space, research administration and utilities, and not through the actual performance of activities under the sponsored projects.

The Fund does not manage indirect cost funding. Researchers or Innovators should refer and adhere to their Institutions' policy of managing indirect cost funding.

### D. Cost Sharing

If the award includes cost-share, the Fund grant accounting officer will create a separate fund to track the cost-share portion of each awarded project so those contributions can be included in financial reports to the Fund and properly reflected in the WaterFund financial statements. All cost-shared expenses, including employee compensation, should be paid directly from the cost share fund and not charged to other existing funds. Refer to the cost transfer section of this document if cost share expenses are erroneously charged to a fund other than the associated cost share fund.

Expenditures must meet the following criteria to be eligible for cost-sharing:

- a) Be verifiable in the Fund's accounting records.
- b) It may not be included as a cost-share for more than one project.
- c) Be reasonable, necessary, and directly related to the research objectives.
- d) Allowable under the terms of the award. Expenses that are disallowed from a grant are also not eligible for cost-share.
- e) Included in the approved project budget if required by the Fund.

### E. Cost Transfers (within the same project)

A cost transfer occurs when an expense that is originally allocated to one activity is moved to

another activity within the same project. Any transactions that would be deemed to be non-compliant or disallowed may result in reimbursement to the Fund or loss of future grant funding.

Cost transfers made near the end of a project period when they appeared to be primarily done to utilize remaining funds before a grant expires are disallowed. For these reasons, every effort should be made to avoid cost transfers by ensuring that funds are utilized on activities presented in the proposal budget. Financial Managers and grantee Principal Researchers should review their accounting activity regularly to ensure that all expenditures are properly recorded and to request cost transfers when necessary.

The following criteria must be met for a cost to be transferred:

- a) Cost transfers shall be based on the current WaterFund policies on project financing.
- b) Requests for cost transfers must include sufficient explanation to justify the need for the transfer.

### F. Budget Adjustments

The approved budget for a research and innovation award summarizes the financial aspects of the project as approved during the WaterFund award process. Grantees are required to report deviations from budget or project scope or objective and request prior approvals from the Fund for budget and research & innovation project plan revisions.

After a grant is awarded, budget adjustments between categories must seek WaterFund approval. The budget adjustments must be developed with the Principal Researcher's grant administrator and approved by the Fund.

### G. Final Disbursements

Final disbursements will be made on the provision by the grantee of the research and innovation completion statement, a claim with all supporting documents, and verification by the Fund. The disbursement file will be closed on completion of the final verification report. Amendments to the budget, disbursement schedule, and co-payments may be allowable at the discretion of the Fund. No disbursements can be made without the grantee providing evidence of its compliance with the Funds' policies and procedures.

The following are reports required before the final payments:

- a) The Fund's receipt of the final scientific report.
- b) Approval of the final scientific report.
- c) Receipt of final fiscal reports.

Total payments cannot exceed the total approved expenditures. The grantee should attribute their grants to the Fund.

At any time, during or after completion of the Research/Innovation project, the grantee should acknowledge the Fund for its funding support in any publication (including the Internet) of any material based on or developed under the Research/Innovation project. Published materials include scientific publications, books, journals, articles, newsletters, brochures, posters, websites, conference materials, case studies, and reports.

In public communication, efforts should be made to acknowledge the Fund's support in media releases, interviews, speeches, videos, or any other media materials. Where possible, the acknowledgment statement should follow:

"This research /Innovation project is supported by the WaterFund, Kenya, [and Implementing Agency, if applicable] under its (XX Award, if applicable)".

If there is more than one funding source, the names of each source of funding are to be placed in order of the funding value. Where applicable, the following disclaimer must be included in all published materials arising from the Research/Innovation:

"Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not reflect the views of the WaterFund, Kenya [and Implementing Agency, if applicable]".

## H. Grant Extension

Request for no-cost grant extension should be made to the Fund before the last six (6) months of the original end of the Term. Any variation requests necessary to meet the extension period must be made known as part of the extension request. A one-off project extension should not be more than a total of six (6) months. An extension beyond six (6) months will require compelling justification.

## 2.7 Grant Implementation

After an award has been accepted by WaterFund, the following documents are required to create the grant fund:

- a) Notice of award outlining the terms and conditions of the award.
- b) Copy of the proposal that was submitted to the Fund.
- c) Grant budget, if the award amount differs from the proposed budget.

The Fund grant administrator will notify the grantee of the applicant's grant fund number.

## A. Grantee Responsibilities

The Grantee will appoint a Principal Researcher with overall responsibility for the conduct of the research and innovation project described in the grant proposal. The Principal Researcher under this clause is the leading technical staff from the applicant. The Fund accounting contact for the grant assists, but the Principal Researcher is expected to conduct all work responsibly and ethically, to comply with the Fund's guidelines for expenditures and reporting. The responsibilities of the Principal Researcher include but are not limited to the following:

- a) Fully understand the terms and conditions of the grant.
- b) Internalize and disseminate knowledge on policies and procedures governing research and innovation and conform to established standards.
- c) Comply with all rules, regulations, and/or terms of the grant award.
- d) Comply with all external regulations including applicable government regulations.
- e) Adhere to WaterFund Research policies and monitor staff effort related to the grant.
- f) Prepare and submit any non-financial reports as required.
- g) Approve changes to the grant fund.
- h) Ensure that financial transactions comply with the Fund guidelines, grant limitations, and/or government regulations.
- i) Review financial activity for accuracy and conformance with budget constraints.

## B. Change in Grantee Lead Researcher

The Fund's approval will be required for a change in the Lead Principal Researcher. The Lead Principal Investigator plays a significant role in steering the Research/Innovation project towards its intended objectives. As such, the grantee will be required to inform the Fund immediately and provide a mitigation plan, should there be a long leave of absence by the Lead Principal Investigator or change to the Lead Principal Investigator.

The grantee will be required to provide the Fund with an assessment of the proposed Lead Principal Investigator's suitability to steer the Research/Innovation project towards its projected goals. The Fund reserves the right to suspend the grant if the mitigation plan is not satisfactory.

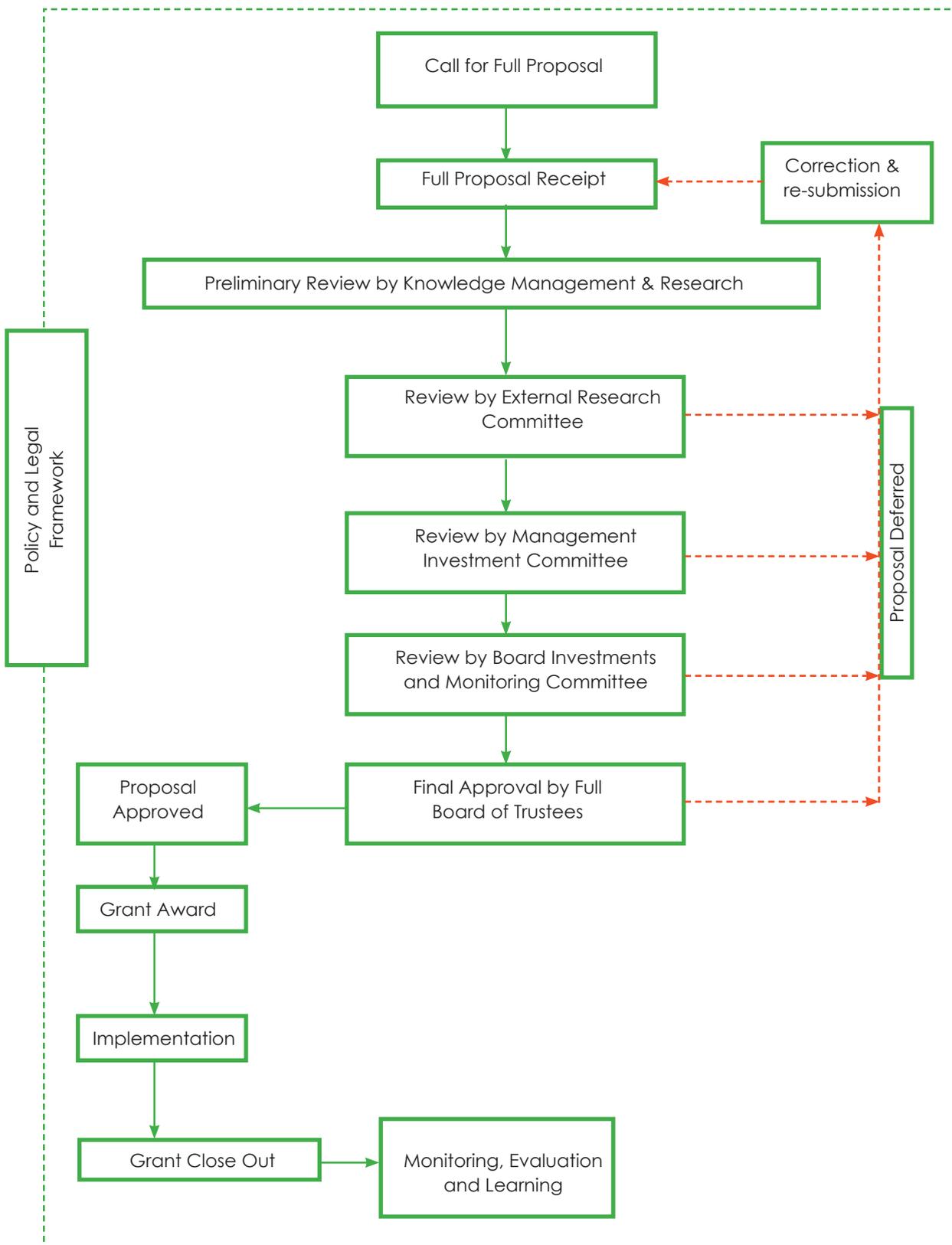


Figure 4: Full Proposal Call Process  
Source: WaterFund

## C. Debarring of Researchers

Lead Principal Researcher who fails to submit the Final Report and/or Final Statement of Account within the stipulated timelines will be debarred. Debarred Lead Principal Researchers will not be eligible to submit new grant applications as Lead Principal Researchers for a period starting from the final report submission, and ending one year from the date the overdue Final report and/or Final Statement of Account is received by the Fund.

## D. Grand Administrative Officer

The WaterFund Grant Administrative Officer performs a wide variety of business functions related to the administration of the grant after it is awarded. These functions include but are not limited to the following:

- a) Confirm submission of payroll notification forms for all compensation from grant and cost-share funds before the start of any work.
- b) Verify assignment of grant fund number to all grant-related transactions initiated by any method (including requisitions, direct pay forms, commercial card transactions, and travel authorizations).
- c) Approve changes to the grant fund and Confirm that financial transactions comply with Fund guidelines, grant limitations, and/or government regulations.
- d) Oversee the review of financial activity for accuracy and conformance with budget constraints.
- e) Grant permission to others to view activity in the grant fund.
- f) Create unique funds to track accounting activity of awarded projects, including cost-sharing funds.
- g) Prepare and submit all grant billings, invoices, or requests for funds.
- h) Prepare and submit all financial reports and financial portions of any progress reports that include accounting information.
- i) Examine monthly accounting activity to assist financial managers and promote compliance with government regulations.
- j) Evaluate account balances to validate account classifications and identify trends.
- k) Provides monthly budget progress reports, and monthly account transactions for select awards that require financial reporting to the Fund.

## 2.8 Peer Reviews

### A. Overview

The WaterFund peer review is designed to assess the validity, quality, and originality of funded articles for publication. Its ultimate purpose is to maintain the integrity of science by filtering out invalid or poor quality articles. The process of peer review will function as a filter for content, directing better quality articles for publication. Running articles through the process of peer review adds value and authority. For this reason, WaterFund advocates for a robust peer review process based on the single-blind review. The composition of reviewers will comprise a third of the members from WaterFund resource persons and the rest as independent reviewers.

### B. Review Process

The peer-review process will be done in collaboration with the International Water Association (IWA).

#### 1. Submission of Paper

- a) The grantee or submitting author submits the paper to WaterFund and is received by the WaterFund.
- b) Submissions by email, hard copies, or electrically through the research portal will be accepted.

#### 2. Editorial Assessment

- a) The WaterFund will check the paper's composition and arrangement against the WaterFund Guidelines to make sure it includes the required sections and stylizations.
- b) The quality of the paper is not assessed at this point.

#### 3. Appraisal by the WaterFund

- a) WaterFund checks that the paper is appropriate for the research and innovation and is sufficiently original and addresses a relevant need.
- b) If not, the paper may be rejected without being reviewed any further.

#### 4. Invitation to Reviewers

- a) The Fund sends invitations to individuals who are authorities in the research topic and those considered appropriate reviewers.
- b) As responses are received, further invitations are issued, if necessary, until the required number of acceptances is obtained. However, two reviewers are sufficient.

#### 5. Response to Invitations

- a) Potential reviewers consider the invitation against their expertise, conflicts of interest, and availability to either accept or decline the invitation.

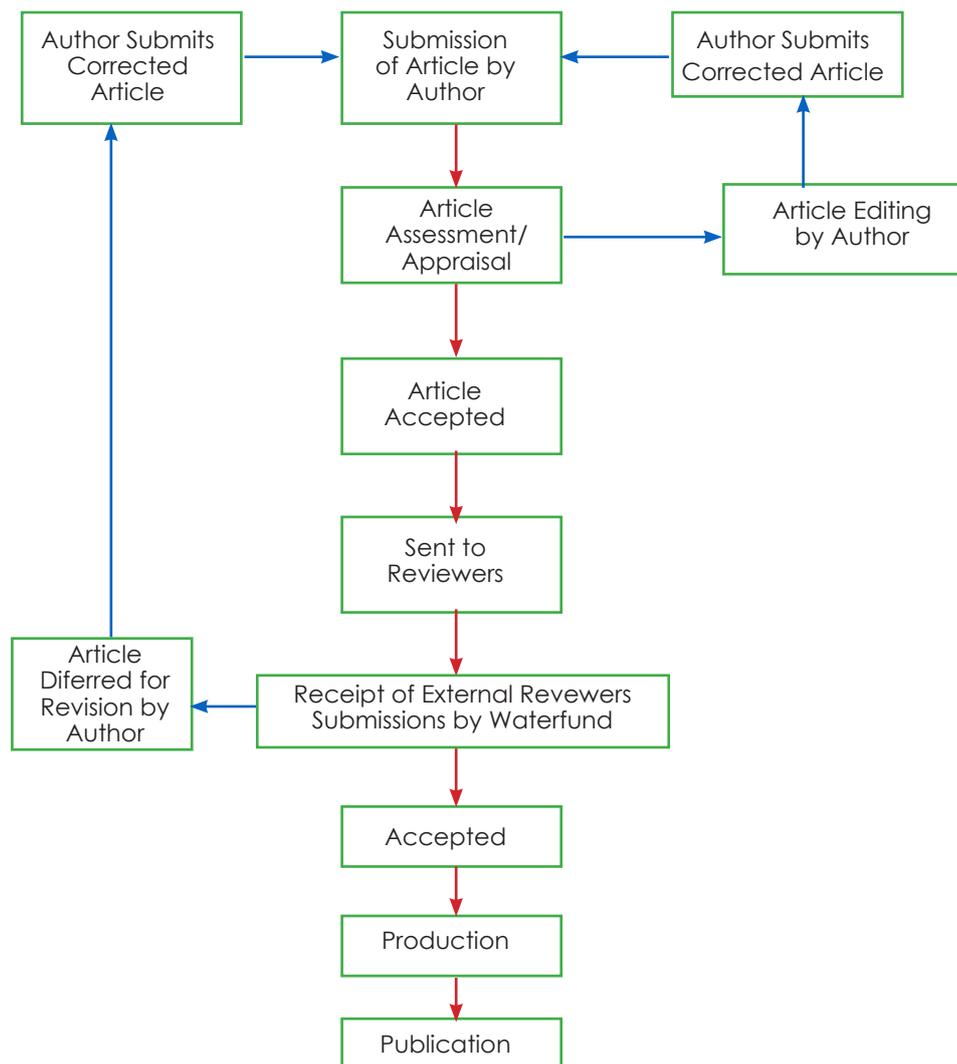


Figure 5: Peer review process

Source: WaterFund

b) When a reviewer declines an invitation, they are encouraged to refer or suggest alternative reviewers.

c) Upon acceptance, the reviewers shall sign the code of conduct (Annex G) and conflict of interest forms (Annex H).

#### 6. Conducting Review

a) The reviewer sets time aside to read the article. The first read is used to form an initial impression of the work. If major problems are found at this stage, the reviewer may reject the paper without further work as indicated in the reasons for article rejection below. Otherwise, the paper will be read several more times, to build a detailed point-by-point review.

b) The review is then submitted to the WaterFund Editor, with a recommendation to accept or

reject it. The reviewer can also indicate a revision request, flagged as either major or minor before it is reconsidered.

#### 7. Reasons for Article Rejection

a) Inconsistency in writing flow.

b) Lack of novelty, originality, and presentation of the obsolete study.

c) Unclear hypothesis.

d) Lack of supporting evidence.

e) Poor analysis.

f) Inconclusive results.

g) Violation of research ethics.

#### 8. Evaluation of the Reviews

a) The WaterFund shall consider all the returned reviews before making an overall decision.

b) If the reviews differ widely, the Editor may invite an additional reviewer to get an extra opinion before making a decision

c) 9. Communication of Decision

a) The WaterFund shall communicate the review decision to the author including any relevant reviewer comments. The comments are communicated anonymously.

b) If accepted, the paper is sent to production. If the article is rejected or sent back for either major or minor revision, the WaterFund should include constructive comments from the reviewers to help the author improve the article.

If rejected at this point, reviewers should also be communicated to the outcome of their reviews. If the paper was sent back for revision, the reviewers should expect to receive a new version, unless they have opted out of further participation. However, where only minor changes were requested this follow-up review will be done by the WaterFund.

10. Publication

The cost of publishing will be borne by the applicant and must be included in the proposal budget. Research publications can be books, book chapters, journal articles, and conference publications which MUST meet the following conditions:

- a) Substantial scholarly activity, as evidenced by discussion of the relevant literature, an awareness of the history and backgrounds of work described and provided in a format that allows a reader to trace sources of the work, including through citations and footnotes.
- b) Originality (i.e. not a compilation of existing works).
- c) Veracity/validity through a peer validation process or by satisfying the commercial publisher processes.
- d) Generating new knowledge.
- e) Evidence of peer review.
- f) Being in a form that enables the dissemination of knowledge.

## 2.9 Grant Implementation Reporting

The Fund requires grantees to submit a variety of reports which are due at specific times during the life cycle of a grant award. All reports must be accurate, complete, and submitted on time according to WaterFund reporting formats.

### A. Progress Reports

The Fund requires grantees to submit research performance progress reports quarterly as part of the

continuation award process. The progress report must be approved by the Fund for each budget period within an approved project period.

The research performance progress report is based on the following milestones:

- i. Achievements towards the goal of the research and innovation project.
- ii. Plans for the next reporting period of the project.
- iii. Manuscripts and publications produced.
- iv. Changes to the level of effort of key personnel on the project.
- v. Actual or planned challenges or delays in the projects and mitigation measures.

### B. Reporting Cycles

The grantees are required to submit Quarterly and Yearly Progress Report within two (2) months from the end of the Financial Year. The requirement to submit a Yearly Progress Report is waived if the project start date is three (3) months or less from the end of the reporting financial year. Progress reports MUST conform to the progress report format in Annex M.

### C. Invention Reports

It is a requirement that grantees report all inventions to the Fund. Grantees must include an acknowledgment of the Fund's support in all patents. When a grant is completed and a subsequent competing segment is not funded, or when a grant is transferred from one grantee to another, a Final Invention Statement and Certification must be submitted to the Fund within 60 days. For grants that are closing out, the Final Invention Statement and Certification can be submitted along with the other required closeout documents.

### D. Financial Reports

Cash transaction data is submitted every quarter directly to the Fund. Expenditure data is required as documentation of the financial status of grants according to the official accounting records of the grantee. The expenditure data is required every month. The report must be submitted for each budget period no later than 60 days after the end of the calendar quarter in which the budget period ended. The report also must cover any authorized extension in time of the budget period. If more frequent reporting is required, the Notification of Award will specify both the frequency and due date.

### E. Final Report

The grantees are required to submit a Final Report within three (3) months following the end of the Term. Researchers will be required to give additional information about the progress and outcomes of any

Research if the information submitted in the Yearly Progress Reports and/or the Final Report is deemed to be inadequate. The grantees are required to submit a Final Claims / Final Statement of Account within three (3) months from the end of the Term. Final reports MUST conform to the progress report format in Annex N.

## 2.10 Award Closure

Closeout of an award is the process by which the Fund determines that all applicable administrative actions and all required work of an award have been completed by the grantee and the Fund. After the grant, grantees will provide the Fund with a final grant report. Per the intellectual property considerations specified in the grant agreement, the grantee will share the final public products of the grant with the Fund, to be shared at the Fund's discretion for the public good.

The grantee will also provide documentation of lessons learned through the grant process. The documentation and sharing of lessons learned after the grant cycle will help to promote transparency and the dissemination of the research and innovation project outcomes.

Grantees must submit the following closeout reports:

### A. Final Financial Report

The Final Financial Report must be submitted directly to WaterFund. Besides quarterly cash transaction

report data, which shall include, for the final quarter of the project period MUST be submitted.

### B. Final Research Performance Progress Report

This report summarizes progress made toward the achievement of scientific aims and identifies significant outcomes. Researchers should note that the information submitted in Section I of this report will be made available to the public.

### C. Final Innovation Statement and Certification

This form is required for all awards. The form should include all inventions which were conceived or first actually reduced to practice during work under the grant, from the original effective date of support through the date of completion or termination. All applicable closeout reports are due no later than 60 days after the project end date. Failure to submit timely and accurate final reports may affect future funding to the applicant.

# 3 Dissemination and Utilization



### 3.0 Introduction

Once data collection and analysis are complete, findings will be disseminated and utilized in supporting the WaterFund mandate to:

- i. assist in financing the development and management of water services in marginalized areas,
- ii. community-level initiatives for the sustainable management of water resources;
- iii. development of water services in rural areas considered not to be commercially viable for the provision of water services by licensees;
- iv. development of water services in the under-served poor urban areas; and
- v. further research activities in the area of water resources management and water services, sewerage and sanitation

### 3.1 Knowledge Hub

WaterFund will develop a vibrant knowledge hub. The hub will be the primary platform for sharing knowledge and innovation. Once results have been analysed, research and innovation findings may be shared with stakeholders, including participants and relevant government bodies. The use of multiple modes of communication is encouraged.

Findings can be disseminated in any or a combination of the following methods:

- a) Publications in peer-reviewed journals.
- b) Detailed reports
- c) News releases
- d) Press conferences

Dissemination reports should be peer-reviewed from independent experts in the same field of research who have not participated in the conduct of the study. The peer-review process of completed reports will ensure objectivity and increase the likelihood of a valid and reliable report. Research reports or presentations may be disseminated to other investigators, water and sanitation professionals, policymakers, or consumers. A brief research report can also be submitted to professional organizations or the media. Press releases should also be considered, as this offers an efficient mechanism for dissemination.

The stipulation of sending a research report should be included in the consent form that participants sign upon entry to a study. This is an ethical consideration given the time and effort participants contribute to the conduct of a study.

Standard research reports must include:

- i. an introduction;
- ii. a description of the method;

- iii. results;
- iv. discussion of major findings; and
- v. Research and/or policy implications.

Brief research and innovation or policy reports should provide a concise and interesting description of the results with key points highlighted. Press releases should also be brief with recommendations specified. Findings disseminated to the general public should look, sound, and read differently than the information communicated to researchers or policymakers. Users will read, process, and utilize research findings at their convenience, not necessarily at the time of initial information dissemination. Hence, findings should be made available through multiple channels and archived for future use.

### 3.2 Dissemination Tools

Various dissemination tools are available to research teams pursuing the uptake of research and innovation findings. The Fund advises all these tools to be considered less as individual pieces and more as parts of a whole. The various tools should be used together within a larger plan that jointly produces a completely effective dissemination package.

Each tool has different strengths and weaknesses in reaching audiences and therefore by using more than one, the tools complement one another to produce a strong dissemination plan. Increasing the number of ways that research and innovation findings reach key audiences increases the chances of uptake and action. The dissemination tools considered in this Guide include research reports, peer review papers, press releases, and policy briefs.

#### A. Research reports

After any WaterFund project, the Fund expects reports from the grantees.

The content of the research and innovation reports are as specified in this guide. The following sections are standard to research and innovation reports and peer-reviewed papers:

- a) Title
- b) List of authors and institutional affiliations
- c) Acknowledgment
- d) Abstract
- e) Executive summary
- f) Introduction
- g) Literature review
- h) Research design/methodology
- i) Results
- j) Discussion
- k) Conclusions
- l) References.

A study report can be the source of information and insights for various kinds of additional products. The tables and charts can become the major visuals of

a conference presentation. The executive summary can contribute to a page of take-home messages, to a press release, or suggest the argument of a policy brief.

Study reports can be templates for peer-reviewed papers, a way of ordering thought and simplifying very complex processes into phrases suited for digestion by the wider research community. Many parts of the report can be lifted, often with moderate adjustments, straight into a peer-reviewed paper. The research and innovation findings will inform the considerations and approaches in supporting WaterFund to fulfil its mission and deliver on its mandate as stated in chapter one.

## B. Peer-reviewed papers

Publication in a peer-reviewed journal is encouraged. Although the structure of a peer-reviewed paper can be very similar to a report, its audience differs. The fund encourages publishing in journals that routinely publish content related to water supply and management.

WaterFund also supports publication in an 'Open Access' journal (i.e. a journal that permits unrestricted access and reuse of the published article). Every journal has specific requirements and formats for submitted articles, a preferred style (e.g. length of abstracts, reference style, etc.), and particular guidelines to be followed by all authors.

## C. Press release

The media is a crucial audience for research findings because it is both a target for and disseminator of research and innovation evidence. The media can reach stakeholders that research teams cannot. They can popularize findings, press governments for change, and highlight inequities or programs that are not working. Researchers must be aware that the media can be sensational with bold headlines, while the actual reporting may lack important facts. For these reasons, the Fund advises the use of press releases.

Press release guidelines:

- a) No longer than one page:
- b) It may feature a photograph and/or logo of the research institution.
- c) Topped by a strong and informative headline:
- d) Newspapers depend upon a catchy 'hook' (the title) to convince people to read their articles, and a press release is no different. The press release should capture what the project is about and why people should care about the results/conclusions.
- e) Summarized in several lines justifying why the research findings deserve publication (dissemination /sharing).

- f) A small photograph or graphic may help reduce complexity to a simple but powerful image.

Have a two-paragraph body that answers the 'who, what, where, why, and how' questions for a lay audience. The media typically structures its articles, to begin with, the most important information and end with the least important. End with a section containing more information about the grantee and WaterFund. Also include contact information so that the newspaper or journalist can follow up if need be.

## D. Policy brief

Policy briefs should be short documents that present the findings and recommendations of the research and innovation project to development policy audiences.

This is a stand-alone document, focused on a single topic and no more than 1500 words. Because policy-makers are constrained by time and overwhelmed by various sources of information, they are likely to make a quick decision by selecting the 'evidence' most appropriate to their work.

Research and innovation evidence is considered through the lens of policy-makers 'experience, expertise and judgment, contextual pragmatics, available resources, and the policy context, as well as the habits, values, and traditions of policy-makers.

## E. Policy brief requirements

To effectively serve its intended purpose a policy brief should be focused on achieving the intended goal of convincing the target audience. The typical audience for a policy brief is not interested in the research/analysis procedures conducted to generate the evidence, but rather the writer's perspective on the problem and potential solutions based on the new evidence.

A policy brief is a communication tool. The audiences not only expect a rational argument but will only be convinced by arguments supported by evidence that the problem exists and the consequences of (or not) adopting a particular course of action.

Limited to a particular problem or specific aspect of a given problem, a press release should be specific.

Policy briefs should not exceed a maximum of 1500 words. The writing should use clear and simple language (i.e. not jargon and concepts of an academic discipline). It should also be accessible to the intended target audience. It should catch the eye of the intended audience through the use of colour, logos, photographs, slogans, and illustrative quotes. A policy brief must provide arguments based on what is happening in practice with a particular policy and propose recommendations that are realistic and feasible to the target audience.

### 3.3 Utilization

Once research and innovation findings have been distributed through the appropriate channels, the goal of the WaterFund dissemination and utilization strategy is to improve the likelihood that information will be utilized in:

- a) Policy
- b) WaterFund program implementation, or
- c) Organizational strategy and realignment.

For policy-makers and many other stakeholders the findings should be tailored to the user; not to fundamentally alter the findings themselves, but simply to reduce jargon and simplify the information. The recommendations should be evidence-based to support their utilization.

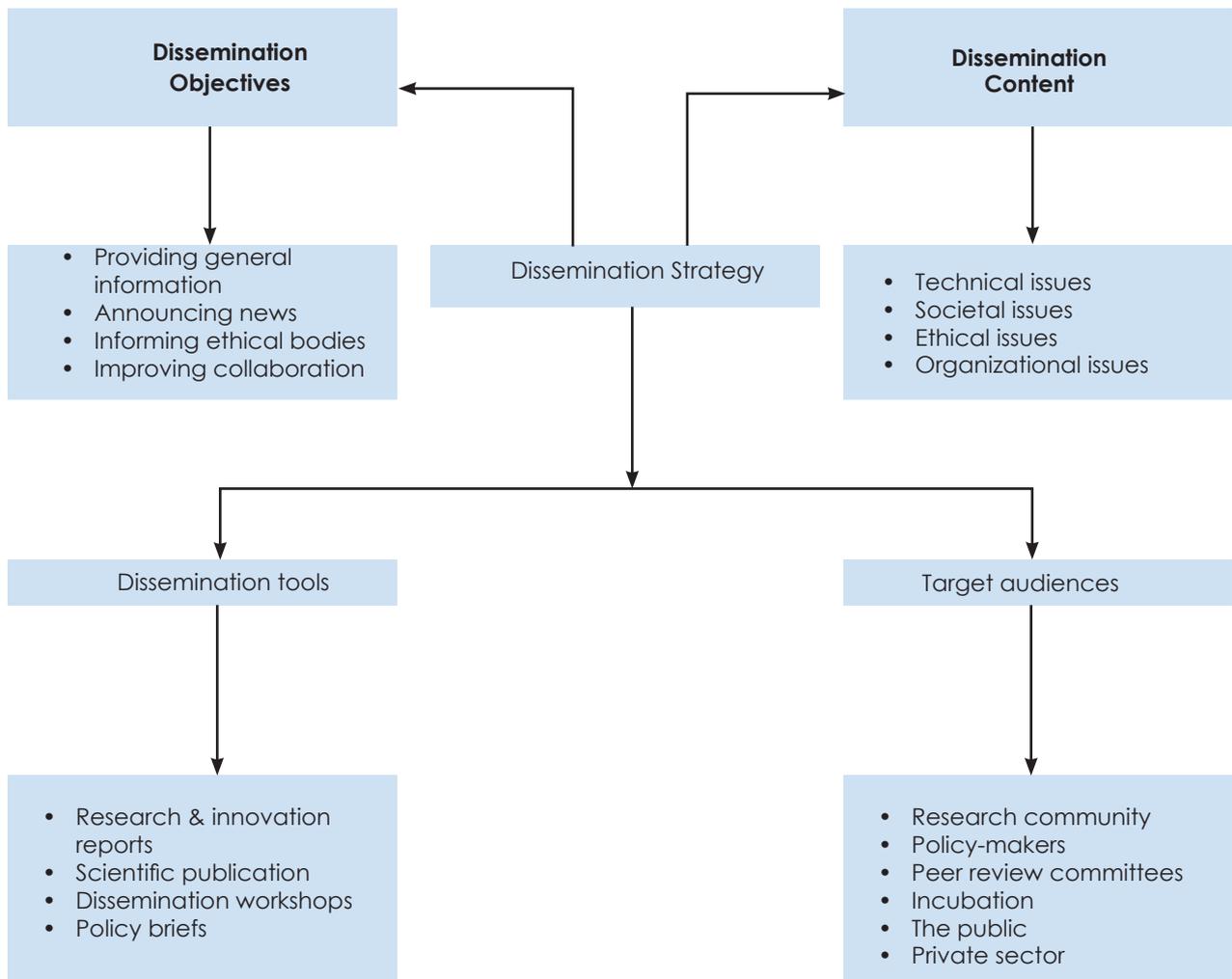


Figure 6: Dissemination strategy  
Source: WaterFund

# 4 Concept Scaling Up



## 4.0 Introduction

This is the deliberate effort to increase the impact of successfully tested water resources management, water services, sewerage, and sanitation to benefit more people and to foster policy and program development on a lasting basis. By “Innovation” we refer to service components, other practices, or products that are new or perceived as new. Typically, the innovation consists of a “set of interventions” including not only new technology, educational component, or community initiative but also the managerial processes necessary for successful implementation.

“Successfully tested” highlights the interventions to be expanded backed by locally generated evidence of system effectiveness and feasibility obtained either through a pilot, demonstration, or experimental projects introduced in a limited number of local sites. “Deliberate efforts” mark scaling up as a guided process, in contrast to the spontaneous diffusion of innovations. “Policy and program development on a lasting basis” points to the importance of institutional capacity-building and sustainability.

### 4.1 Scaling Up Framework

The WaterFund adopts the framework depicted in systematically scaling up on Research and Innovation consisting of three levels: innovation, incubation, and scaling.

### 4.2 First Level: Innovation

The innovation should be simplified. The more simplified an intervention, the more feasible it is to

scale it up. Document evidence of the innovation with clear emotional appeal. The problem should be clarified in addressing an objectively significant, persistent problem. Involve the right combination of qualified experts in understanding the problem and selecting appropriate innovations. Explore which internal and external partners to work with at the innovation stage (refer to partner engagement plan).

### 4.3 Second Level: Learning

Learning is the transition to scale up (when innovations that have demonstrated small-scale success develop their model and attract partners to help fill gaps in their capacity to scale). Learning involves Incubation, validation, experimentation, piloting, limited use, hypothesis testing, and governance. Not every innovation can or should be scaled up. Not every scaling up needs to involve an innovation. Many innovations may not be suitable for scaling up. The experimental nature of the innovation process needs to be recognized as important in its own right and the risk of pilots not succeeding must be accepted as an integral part of the innovation and learning process.

Failed pilots may offer as many and perhaps more lessons than successful ones. At this stage, the focus is both on innovation as well as learning and scaling up. Scaling up is part of a broader process of innovation, learning, and scaling up. A new idea, model, or approach is typically embodied in a pilot project with limited impact. The private sector provides good learning space through modelling, experimentation, and piloting. By learning from the incubation experience with monitoring and evaluation, Water-

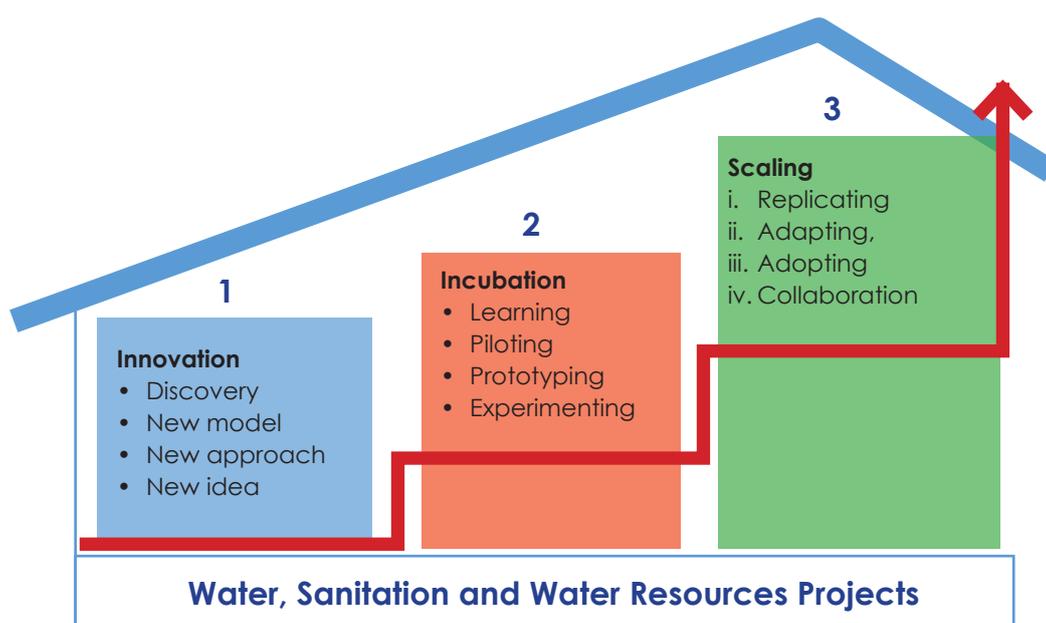


Figure 7: Scaling Up Framework

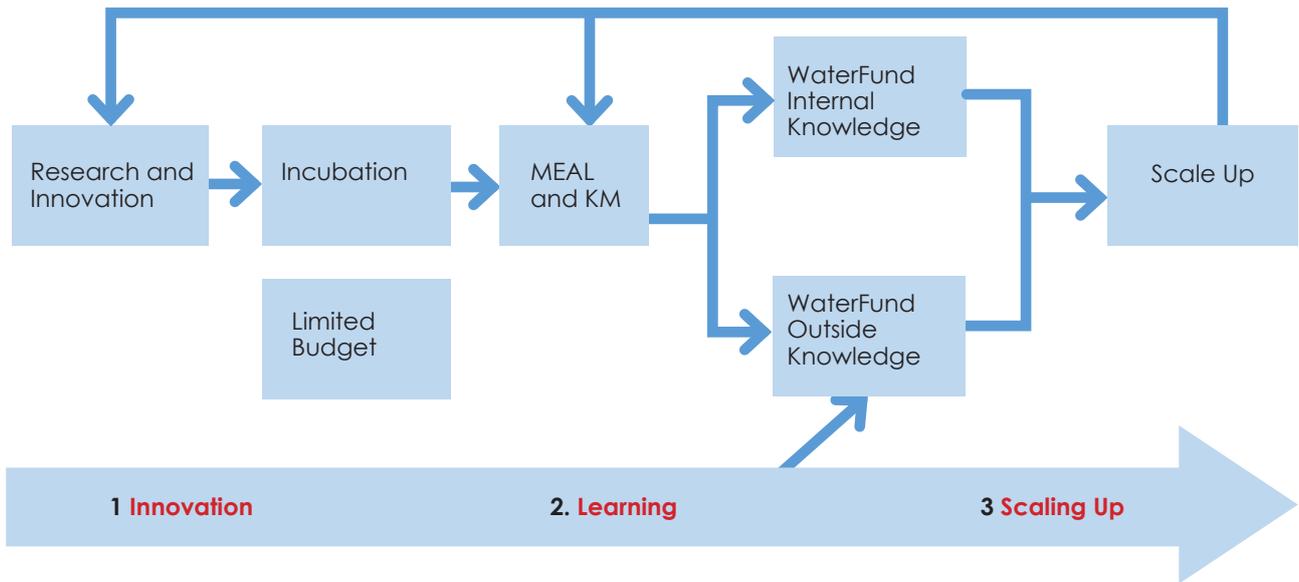


Figure 8: The links of innovation, learning, and scaling up  
Source: WaterFund

Fund -internal knowledge is created and organization-external knowledge is disseminated.

Internal and external knowledge in turn can be used to scale up the model through expansion, replication, and adaptation with multiple impacts. The experience from scaling up feeds back into new ideas and learning. Outside knowledge can also feed scaling-up efforts if an organization picks up on the pilot experience and learning of another organization.

#### 4.4 Third Level: Scaling Up

##### Introduction

Scaling up refers to the process of increasing the scale of application of knowledge or novelty whilst maintaining proportion.

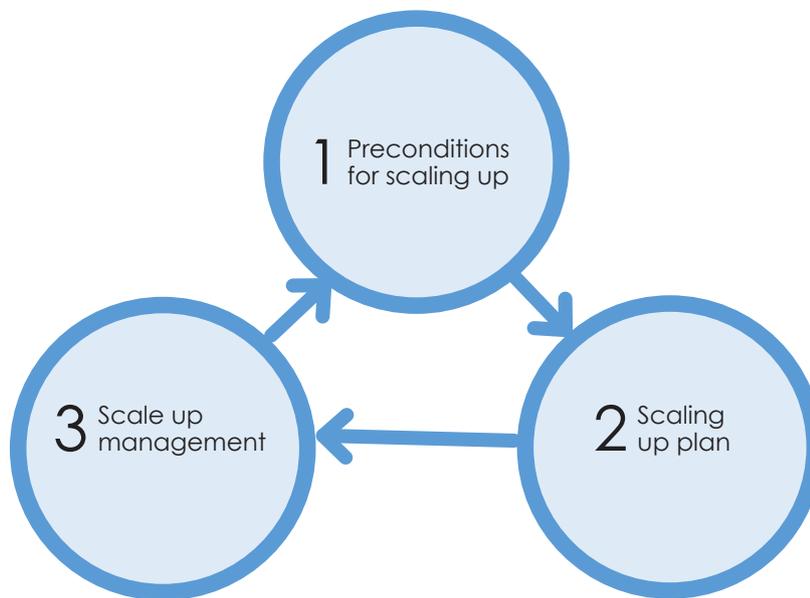


Figure 9: Scaling Up Process  
Source: WaterFund

## Step One: Pre-Conditions for Scale-Up

The scale-up will be considered under the following conditions based on the scalability evaluation tool in Annex K. The intellectual concept behind the innovation should be field-tested to gain an early, 'real-world' assessment of its potential. The concepts that show clear evidence from several cases will be considered for scaling up.

Internal and external partners to work with at different stages for financial and non-financial support for the scale-up MUST be explored. Concepts with sufficient financial and technical support will be considered for scaling up. The intended result is that decisions and resources needed for scaling up are approved and in place. This requires getting the theme on the agenda of key decision-makers, aligning stakeholders to support needed changes, and securing required resources.

Scaling up involves change. Because change often represents a significant break from tradition and requires shifts in attitudes and actions, change must be advocated by champions who enjoy widespread credibility. These individuals can come from the public, non-profit, or private sectors. However, if government policy adoption is the chosen method of scaling up, it is essential to attract high-level government involvement and support at the earliest feasible date.

Scaling up legitimation is essential for getting policies approved, budgetary priorities adopted and developing the broader and deeper base of support needed for implementation by governmental institutions and others. It is critical for attracting potential adopting organizations, persuading funders to provide support, and ensuring a warm reception of the model among new locations, client populations, and potentially competing organizations.

Establishing legitimacy can be accomplished through enlisting prominent spokespersons or celebrities as advocates, developing and popularizing images, slogans, and symbols, creating independent commissions, establishing high-level advisory boards, mounting local, national, and international media campaigns, implementing public education programs, and conducting policy debates.

Identifying which organizations, organizational units, or individuals are responsible for key decisions regarding the funding and implementation of scaling up as well as the authority to make decisions within these organizations. Organizing multi-stakeholder coalitions encompassing the public sector, private sector, and research institutions. This may involve conducting advocacy campaigns with legislators and legislative committees, working through government ministries, and direct outreach to business, labour, or other civil society groups.

For scaling up to be successful, resources need to be mobilized to support the scaling-up process and support the new model to operate on an expanded scale. Partnerships between institutions with complementary resources and strengths can provide the resources needed for the scaling-up process (refer to chapter six on Resource Mobilization strategy).

## Step Two: Scaling Up Plan

The Model (service, approach, or intervention) to be scaled up and the scope of the ambition in terms of numbers and geographical spread of intended beneficiaries should be described in detail. The approaches and methods by which interventions reach scale should be identified and described in detail as to whether they are:

- a) Expansions (growth, restructuring, franchising),
- b) Replication (policy adoption, grafting, diffusion, commercialization) or
- c) Collaboration (formal partnerships and strategic alliances, networks and coalitions)

Intermediary organizations assisting the scale-up process should be identified and engaged in supporting key Intermediation Functions such as:

- a) Strategic Planning
- b) Impact Evaluation
- c) Fundraising
- d) Investment Packaging and Placement
- e) Advocacy
- f) Convening and Coordinating Stakeholders
- g) Change Management
- h) Organizational Development and Process Consulting
- i) Systems Strengthening

Specific models will be assessed as to whether they are ready and feasible to be scaled. To stand the best chance of being widely adopted, innovations [models] must be:

- a) Credible, based on sound evidence;
- b) Observable to ensure that potential users can see the results in practice;
- c) Relevant for addressing persistent or sharply felt problems;
- d) Have a relative advantage over existing practices;
- e) Easy to transfer and adopt;
- f) Compatible with the existing users' established values, norms, and facilities;



Figure 10: Evidence Continuum

Source: WaterFund

- g) Able to be tested or tried without committing the potential user to complete adoption when results have not yet been seen;
- h) Involve a clear and replicable technology;
- i) Self-generate the financial resources needed for expansion.

Scaling up interventions should be deferred until they have at least reached the standard of good or best practice as indicated in the Evidence Continuum below and detailed in Annex L:

Information gaps needed to drive or inform scaling decisions need to be identified and filled.

Gaps to be considered include:

- a) Documentation of the model, including goals and distinguishing technical, organizational, and/or process elements.
- b) Refinement and simplification of the model.
- c) Analysis of need or demand for the service among the larger population.
- d) Analysis of the changes needed to make the model applicable to other parts of the country or other target groups.
- e) Comparative analysis of the costs associated with the model.
- f) Evaluation of the model's comparative impact and success.
- g) Analysis of the possibilities for achieving economies of scale.
- h) Analysis of the institutional requirements for implementing the model.

The Scale-up plan must summarize the need, vision, and evidence for scaling up the model. It should include a clear description of the proposed actions, timetables, roles, responsibilities, and resources.

### Step Three: Implementing the Scaling Up Process

This step focuses on creating the necessary organizational capacity to transfer and apply the model at scale. Implementing meaningful large-scale change may need the creation of new organizational structures or major changes to existing ones. Even when this is not the case, there is a greater need for sharing information and resources and for more concerted coordination, particularly during the transition period. In this regard, it is especially important to identify what additional incentives, motivations, and capacities are needed to undertake large scale implementation. The roles and motivations of personnel, particularly frontline implementers, are key issues that are often overlooked in the scaling-up process.

Transfer of knowledge and know-how is one of the most neglected aspects of scaling up. In addition to procedures such as process engineering, developing manuals, and the training of trainers, this often requires a substantial simplification of the model when resources necessary for intensive mentoring and capacity-building are not available. Involve intermediary organizations in the design and implementation of legitimation and advocacy strategies, change management, designing strategies for large scale capacity-building, and monitoring and evaluating the scaling-up process and scaled up intervention.

Develop and execute institutional capacity-building and organizational development plans for all organizations with major roles to play in either the scaling-up process or subsequent efforts to operate at scale.

Multi-stakeholder alliances are a critical element of scaling up. Examples of successful scaling up usually involve a multiplicity of stakeholders at different levels (local, county, national, international) and from different sectors (governmental, non-governmental,

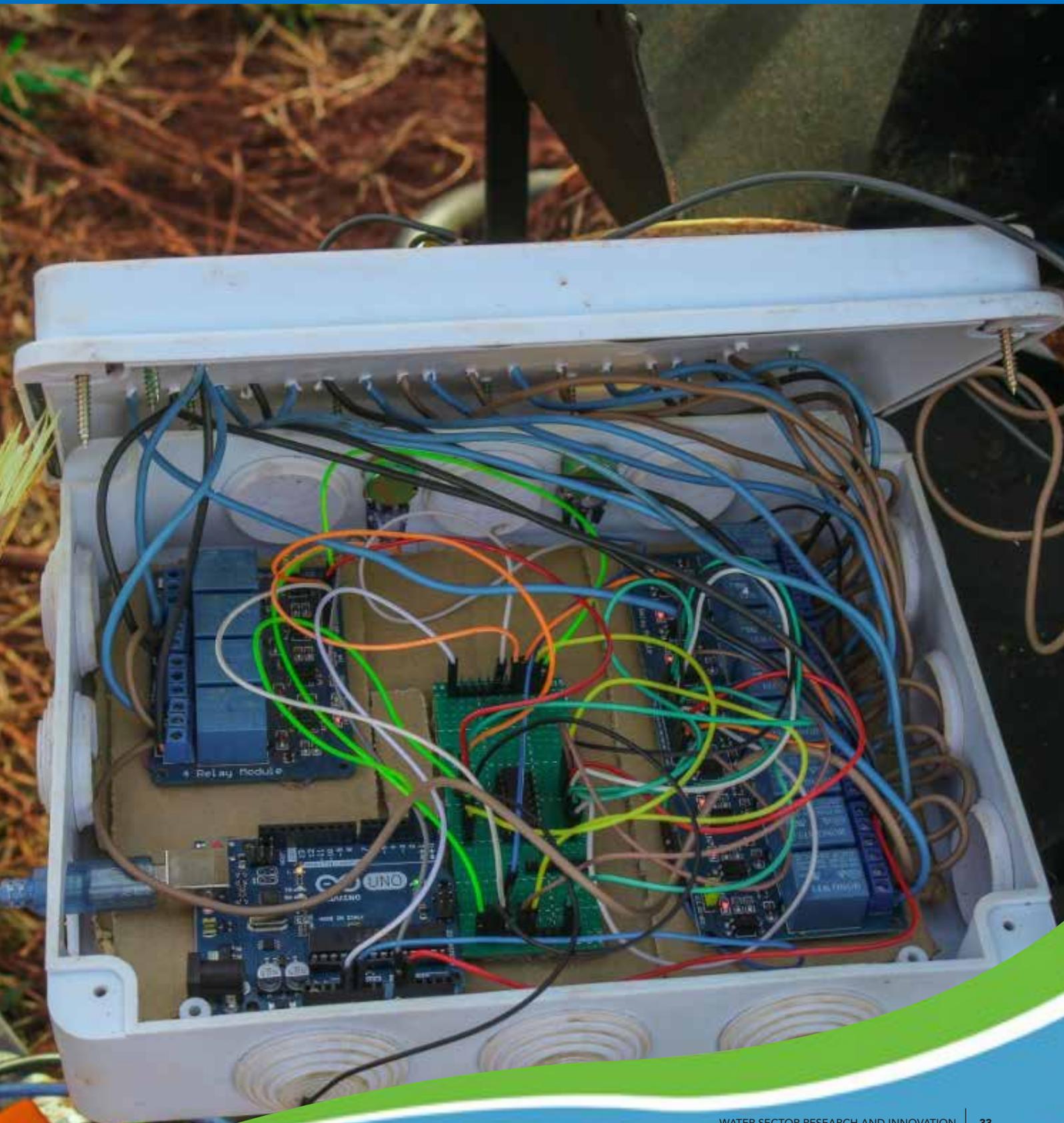
business, and education.). Establish and apply multi-organizational management processes, coordination mechanisms, and accountability procedures to ensure that decisions are translated into concrete actions. This requires coordination among organizations that are not in the habit of working with one another in multi-party programming and inter-organizational coordination.

In scaling up pilot activities, there is a need for the implementation of actions necessary to successfully transfer the model to others, as well as those needed for operating at scale. Establish action plans and

budgets in place for implementing the scaling-up effort. Allocate responsibilities and establish efficient mechanisms for coordinating the scaling-up effort. Establish responsibility for MEAL efforts and conflict resolution mechanisms.

Track performance and maintain momentum. This involves providing adequate procedures for documenting the progress, lessons learned, and impact of the scaling-up effort. Identify the most effective mechanisms that will ensure this information is fed back to key stakeholders and the broader public and used to make necessary course corrections.

# 5 Monitoring, Evaluation Accountability and Learning



## 5.0 Introduction

Monitoring, Evaluation, Accountability and Learning (MEAL) involve tracking the progress of the funding program, making adjustments, and assessing the outcomes. The information generated by the MEAL is used to foster change within the WaterFund operating environment. The framework is essential to guide monitoring evaluation, accountability and learning.

Monitoring, evaluation, accountability and learning will be based on the research project Logframe as detailed in the Full Proposal Template (Annex C).

MEAL will evaluate the impact of the Fund, report results and impacts to target audiences, and provide tools for decision-making for adaptive management of projects and for amending the grant-making strategy. Also, MEAL will promote transparency by generating lessons learned that can be publicly shared. This section describes the MEAL process

that the Fund will use to monitor and evaluate its programs with its purpose, strategic direction, and national and international research and innovation indicators, targets, and strategies.

### 5.1 Scale-up MEAL

MEAL begins early in the process with baseline assessments of the effectiveness of the pilot project during the Innovation Stage. The most successful scaling strategies include resources to monitor the scaling process and the flexibility to make changes based on experience. Track changes in outcomes associated with introducing the innovation, and to make adjustments if the results differ from what was intended. Particularly important to assess are any effects associated with changes in the model itself, changes in the venue or social context in which it is applied, or changes in the people providing the services.

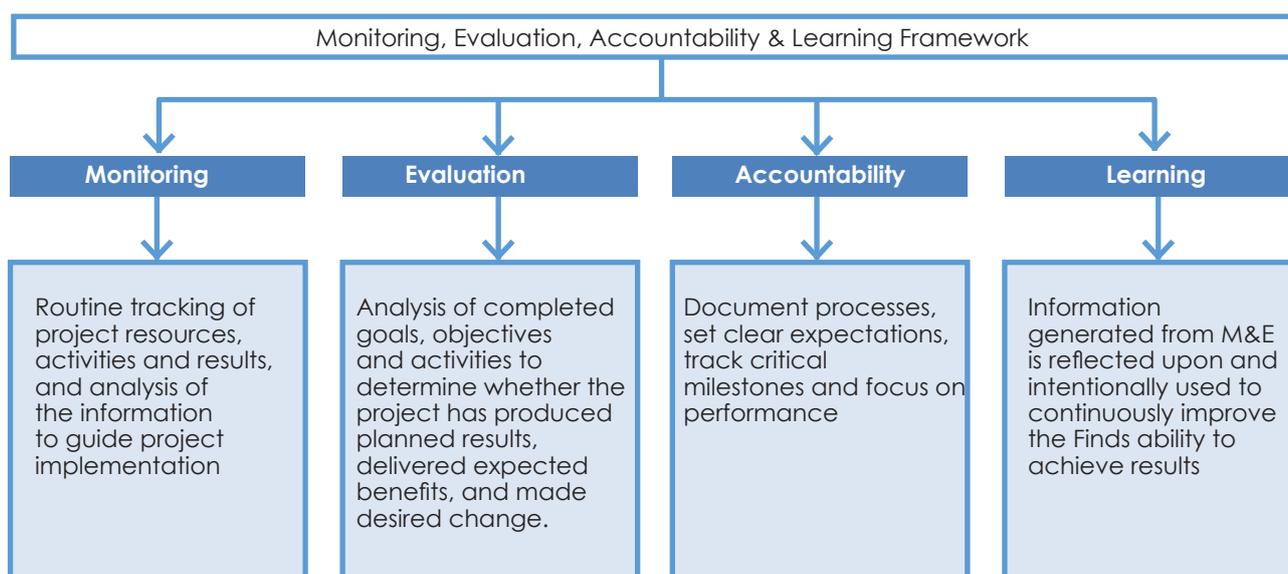


Figure 11: MEAL Framework  
Source: WaterFund

Logic of Intervention	Objectively Verifiable Indicators	Sources of Verification	Targets	Budget	Assumptions & Risks
Overall Objective(s)					
Specific Objectives					
Research Results					
Activities					

Table 3: Logframe

Monitor the implementation of the scaling-up process. Organize adequate procedures for documenting the progress, lessons learned, and impacts of the scaling-up effort. Besides the usual requirements for sound project management, it's important to anticipate the questions and concerns of the broader audience involved in approving, funding, and implementing the scaling-up process. This puts a particular premium on conducting monitoring and evaluation in a credible, public, and transparent manner, and there is considerable value in involving beneficiaries and independent third parties.

Create multiple avenues for feeding information back to the public and decision-makers, and for ensuring that it is widely discussed. The press, academia, and non-partisan monitoring organizations can play important roles in this process. Some of the approaches and techniques used for this task include:

- a) Citizen oversight panels
- b) User review studies
- c) Third-party M&E
- d) Open-access websites
- e) Comparative scorecards
- f) Sustained media coverage

Monitoring and evaluation of a scaling-up project need an allocation of not less than 20 percent of project costs for these purposes unless an alternative source of funding exists for gap analysis activities. By learning from innovation, incubation, and scaling up experience with MEAL, the Fund's internal knowledge is created and organization-external knowledge is disseminated. Internal and external knowledge in turn can be used to scale up the model through expansion, replication, and adaptation with multiple impacts.

The experience from scaling up feeds back into new ideas and learning. Outside knowledge can also feed scaling-up efforts if an organization picks up on the pilot experience and learning of another organization. The MEAL process is aimed at providing valuable lessons around what works and doesn't work, as well as insights on what may have to be changed in terms of the original design of the innovation and/or scaling process.

## 5.2 Grantee Reporting and Monitoring

As part of the Monitoring and Evaluation process, WaterFund Fund will monitor grantee progress.

WaterFund and grantees will agree upon measures of performance to monitor grant progress and outline these in the grant agreement, before grant implementation. Besides, the Fund will conduct monitoring site visits to observe site conditions and activities.

WaterFund will provide reporting guidelines, timelines, and templates for grantees to support grantee reporting. The Templates that the Fund will provide to grantees to guide reporting will include the interim project financial and progress reports and the financial statement and end of project reports.

## 5.3 Key Performance Indicators

Progress and performance indicators for the funded projects shall include:

- a) Budget variance.
- b) Research project schedule.
- c) Non-finance input indicators such as staff, key partners, and infrastructure.
- d) Key research milestone indicators such as fieldwork, data analysis, peer review, dissemination, and utilization.

## 5.4 Project financial and progress reports

Interim financial and progress reports may include a report to be filed three months after initial disbursement and biannual reports thereafter. Interim reports will be tied to deliverables and site visits to observe grantee research and innovation progress conducted by the Fund, which is described in more detail below.

## 5.5 Financial statements and end of project report

The Fund will require grantees to provide financial statements documenting the use of grant funds to accompany the research and innovation financial and progress reports. The financial statements may either be in the form of official financial reports documenting expenses and uses of funds, or for smaller grantees with less capacity; these may include monthly bank statements or reconciliation statements to show the disbursement and use of funds.

The grantees will compile and submit monthly bank statements according to the reporting schedule described for the progress reports above, though this schedule may vary depending on the specifics of each grant. The Fund will require grantees to submit a

final report at the close of the research project. The end of a project report must demonstrate impact to establish credibility, ownership, demand, and sector-wide support.

# 6 Resource Mobilization



## 6.0 Introduction

Resource mobilization in the context of this funding framework refers to all activities involved in securing new and additional resources for WaterFund projects and activities. It also involves making better of, and maximizing, existing resources. Resource mobilization is critical in ensuring the continuation of WaterFund service provision and execution of its mandate. Resource mobilization supports organizational sustainability and allows for the improvement and scale-up of products and services.

## 6.1 Resource Mobilisation Goal(s)

The Fund seeks to mobilize KES 23 Billion to improve access to water and Sanitation to the underserved in Kenya. SDG 6 envisions 100% access to WSS by 2030. To this end, Kenya will need to invest an estimated KES 100B annually while actual expense is currently only KES 40B. As a premier financing mechanism to the water sector, the Fund will aim to significantly increase the resources requirement progressively as shown in the table below in order to bolster funding to the underserved areas.

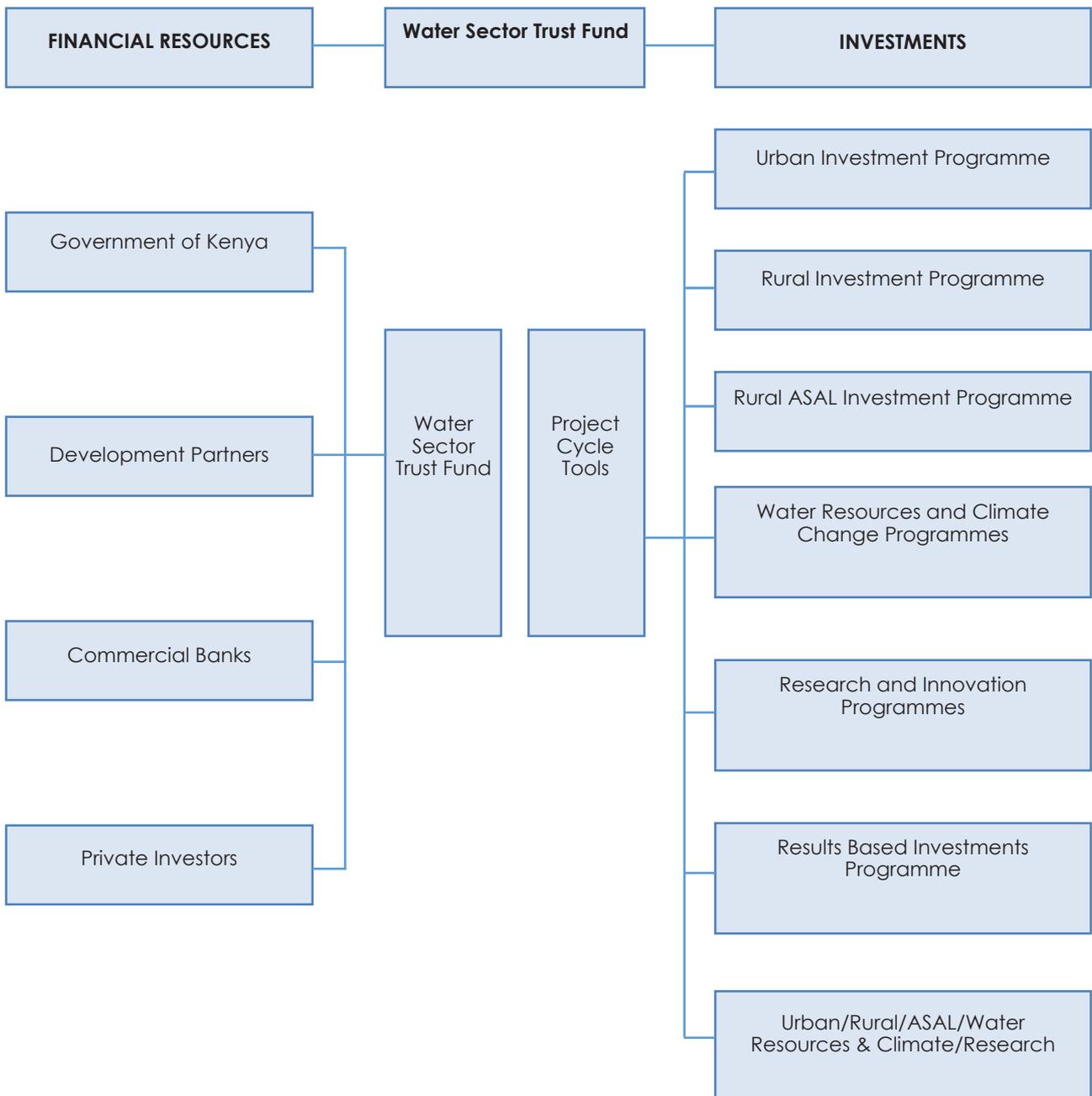


Figure 12: Relationship between funds' sources, the Fund and Sector Players  
Source: WaterFund

Currently, funding to the water sector is largely by donors and the government of Kenya grants. Donor funds constitute 90% of sector investments. Since both donors and the government are unlikely to significantly increase the available funds in the short term, unique funding strategies are envisioned in this plan to increase investments.

## 6.2 Resource Mobilization Strategies

The main strategies to achieve KES 10 Billion per year funding are;

### a) Intense Fund Growing effort from Foundations, existing development partners, the private sector, new development partners.

Grants and donations will continue to play a significant role soon in improving access to the poor and most vulnerable. These donations and grants will be primarily used to impact the neediest communities where there is no much commercial financing viability. The Fund will increase resource mobilization efforts to expand the donor base and this will also go hand in hand with improving absorption capacity as outlined in the next goal. Expanding projects to include climate change mitigation measures will unlock a potential USD 100 billion climate fund. These initiatives should make available KES 2 billion annually by 2022.

### b) Tapping on to the private sector:

The biggest opportunity lies in the private sector. This strategy envisions more than half of the required monies to close the access gap in the sector will come from the private sector within five years. This means the likelihood of these funds to not be channelled to the sector directly through the Fund but leveraged with the WaterFund's funds. Therefore, the particular focus on preparing the sector in conjunction with other stakeholders for viability. This may be in the form of public-private partnership initiatives at various levels of the water services sector. It can also be through commercial financing which can plug the funding gap if the sector was more disciplined and commercially viable.

In this regard, it is paramount that the Fund plays an integral role in assisting implementing partners and other target sector players to develop the capacity to attract private sector funds.

### c) Government lobbying

The Fund will lobby the government for increased budgetary allocations and increased allocation from the Equalisation Fund.

### d) Sustainability Plan

Self-sustainability funding initiatives will ensure that resources earmarked for the sector are available annually. These initiatives will include enforcement of the Fund levy as enshrined in Water Act 2016. However, as per the Resource Mobilisation Strategy, this is considered Medium-term subject to factors beyond the Fund, preferably to kick on in year 3 after sufficient stakeholder consultations and agreements. With current water bills at 17B annually and growing by roughly 10% annually, it is recommended that the Fund can charge a 3% levy on water bills to be collected via WSPs which should give the Fund a good sustainable fund to leverage for more pro-poor funding from other financing institutions.

WaterFund will also work with the industry to launch an infrastructure bond to raise KES 1bn annually for access improvement. The Fund can play a key role to guarantee investors of the fund to increase chances of success for water bonds. Other fundraising strategies include offering consulting services to water sector players through innovation (R&D) for a fee, rental income from the envisioned Water Complex in the industrial area which should provide KES 100M annually on completion in the next strategy cycle, and Interest income from loans advanced to water utilities to fund bankable projects identified by the delivery unit.

The government has already provided an initial endowment fund of KES 250M. The Fund will work with the MWSI to increase the amount available and fund-raise from donors, corporates, and Foundations more monies to shore up its endowment fund with envisioned KES 1B.

### e) Better costs management and budgetary controls

to avail more funds for development. This should result in increased savings.

### f) Better monitoring and control of project implementation

should result in more savings by reducing maintenance costs.

## 6.3 Resource Mobilization Gaps Mapping

The Fund sets to perform its current resource situation analysis alongside the review of the organizational strategy. The process is to help determine program areas in need of funding and resources using a resource timeline (refer to resource mobilization gap analysis and resource plan annex J).

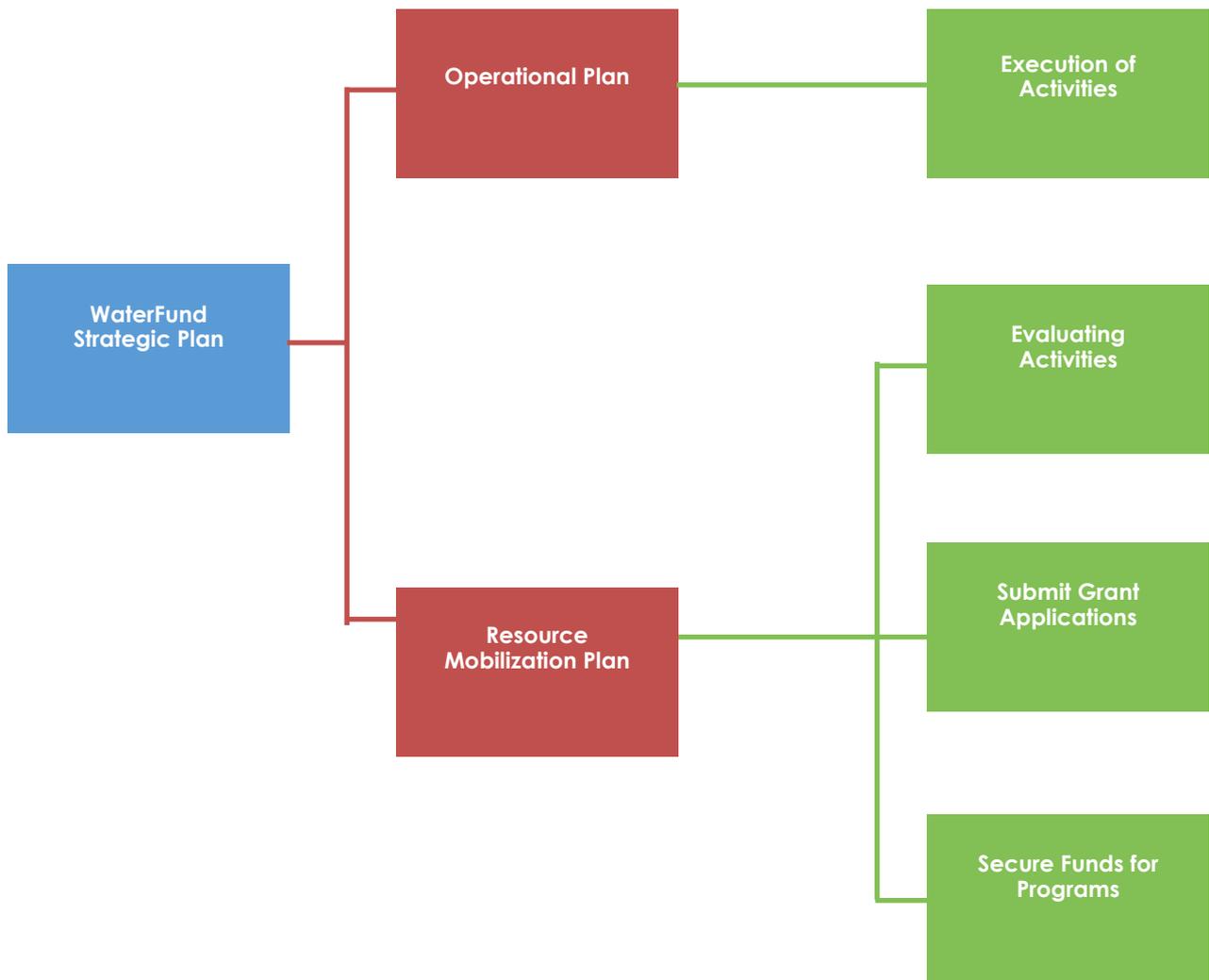


Figure 13: Resource mobilization mapping  
Source: WaterFund

## 6.4 Research and Innovation Budget

WaterFund sets its minimum resource mobilization target for research and innovation at Kshs 500M for the current strategic plan. This target is based upon current resourcing needs, coupled with a realistic view of the Fund's potential to generate contributions. A review of the target will be performed every five (5) years alongside the WaterFund Strategic Plan reviews.

The target of Kshs 500M is a minimum, rather than a maximum target, and renewed efforts are made to surpass this goal, and go beyond it, in the subsequent funding cycles. The budget is to be clearly and consistently communicated in WaterFund's external communications, along with an explanation as to its origins. WaterFund will hold itself accountable and communicate its impact with facts, figures, and testimonials.

For a strong funding base, WaterFund will endeavor to widen the donor base and increase the predictability of resources, shift funding from earmarked to core resources as well, leveraging resources, and results through partnerships.

## 6.5 Revenue Source

To achieve its Research & Innovation goals, WaterFund identifies the following sources of funding through a five-year strategy to increase funding from existing sources and to secure new funding from new sources. This is to increase income from the base of KES 500M annually in 2020 to KES 700M by the end of the current strategic plan in 2022. From the Water Act 2016, the following will be the main sources of funds:

- a) Appropriated by parliament from the national budget;

- b) Provisions from the equalization fund on agreed programs;
- c) Provisions by county governments on agreed programs;
- d) Donations, grants, and bequests from development partners and other sources;
- e) The proceeds of the levy imposed under subsection (2); and
- f) Amounts payable into the Fund under any Act.

The Cabinet Secretary may, by Regulations following public consultation prescribe a levy to be paid by consumers of piped water supplied by licensed water service providers, the proceeds of which shall be paid into the Fund established under section 113 or any Act.

It is anticipated that the vast majority of resources available to the Fund will come from the Government of Kenya through the exchequer releases, Development Partners, and Public-Private Partnerships (PPPs) collaboration. The key Development Partners are World Bank, KfW, KIDDP, AfDB, GIZ, JICA, SIDA, BADEA, IFAD, and UNICEF. Regional and International Partners such as IAEA and UNESCO also contribute in cash and through support for capacity development.

The resource mobilization strategy is primarily aimed at providing the evidence and encouragement needed to maximize such contributions. The primary objectives of the resource mobilization strategy are to increase the number of international actors who contribute to the Fund. Efforts in broadening the range of international partners are likely to be more efficient than investing significant resources in securing revenue from private foundations.

The Fund will explore links with private sector foundations and the corporate sector. However, these will initially be exploratory, relationship-building exercises, rather than as fundraising approaches intrinsically.

Another potential route to access additional funds would be collaborating with other research bodies in arrears of mutual interest. Based on their financial capacities, grantees will be expected to provide in-kind and/or cash contributions in the ratios described below.

- a) Public sector agencies must provide co-financing (in-kind or cash) of 1:1.
- b) Higher learning institutions must provide co-financing (in-kind or cash) of 1:1.

Sources of Funding	FY2019/2020	FYI2020/2021	FY2021/2022
GoK Grants	900,000,000	1,050,000,000	1,826,000,000
County Government Funding	120,000,000	150,000,000	200,000,000
Donor Funding	2,750,000,000	3,200,000,000	3,500,000,000
Leveraged funds	1,000,000,000	1,500,000,000	2,000,000,000
Water Levy		100,000,000	110,000,000
Interest & fee income	115,000,000	150,000,000	200,000,000
Funding for the office complex		200,000,000	300,000,000
Endowment Fund		1,000,000,000	1,000,000,000
Consultancy, Training & Other Incomes		5,000,000	10,000,000
	<b>4,885,000,000</b>	<b>7,355,000,000</b>	<b>9,146,000,000</b>

Table 4: Revenue Mix Forecast

Source: WaterFund Strategic Plan 2018/2022

c) Private corporations or other companies must provide a 1 to 2 match of cash funds for all proposals, and they must not generate a profit through project activities. Local community associations/community bodies are not required

to provide a match, but it will be advisable if they could identify some in-kind contributions.

d) Other appropriate local entities will be considered on a case-by-case basis but in general, it will be advisable if they could identify some in-kind contributions.

# 7 Strategic Partnership Framework



## 7.0 Introduction

The Strategic Partnering Framework is intended to be a guide to the process of forming and maintaining strategic partnerships in Water Sector Research and Innovation. The approach is comprehensive beginning before a partnership is established with organizational self-assessment, and progressing through the process of building and maintaining a partnership, with evaluation and reassessment integrated throughout the entire process. The framework is designed for use at any level of partnership; county level, national, or international, and in any size partnership, from a single partner to the coalition. It can also be applied at any stage of the partnership process.

### 7.1 Strategic Partnering Assessment

#### A. Organizational Assessment

Organizational assessment entails reaffirming WaterFund goals through the determination of the Fund's organizational and project-specific priorities. Establish the Fund's readiness to partner in terms of staff, resources, time, skill, and expertise. Identify key individuals within the Fund to contribute to the partnership. Assess the Fund's limitations in terms of staff, resources, time, skill, and expertise.

#### B. Partner Selection process

Determine the Fund's common goals with the potential partners. Evaluate the previous history, if any, with potential partnering organizations. This will guide future engagements. Articulate a common project/task/reason for partnering. There should be agreement on the level and type of partnership (formal, informal, one time, long term). Determine the types of resources that each partner brings.

An assessment of whether the partner has skills, resources, time, expertise, credibility, name recognition, advocacy capabilities that the Fund needs should be performed. Clarify the mutual benefits of the partnership. There should be agreement on the level of commitment of each partner. Confirm that there are mutual respect and trust between the partners. There should be no conflict of interest, either within or between organizations. Identify any risks or legal issues to be addressed.

Confirm that the partnership represents an appropriate cross-section of members (e.g., that it represents different segments of the community, particularly important in coalition building, larger partnerships). Verify that the partnership has a unique purpose that is not met by the individual organizations.

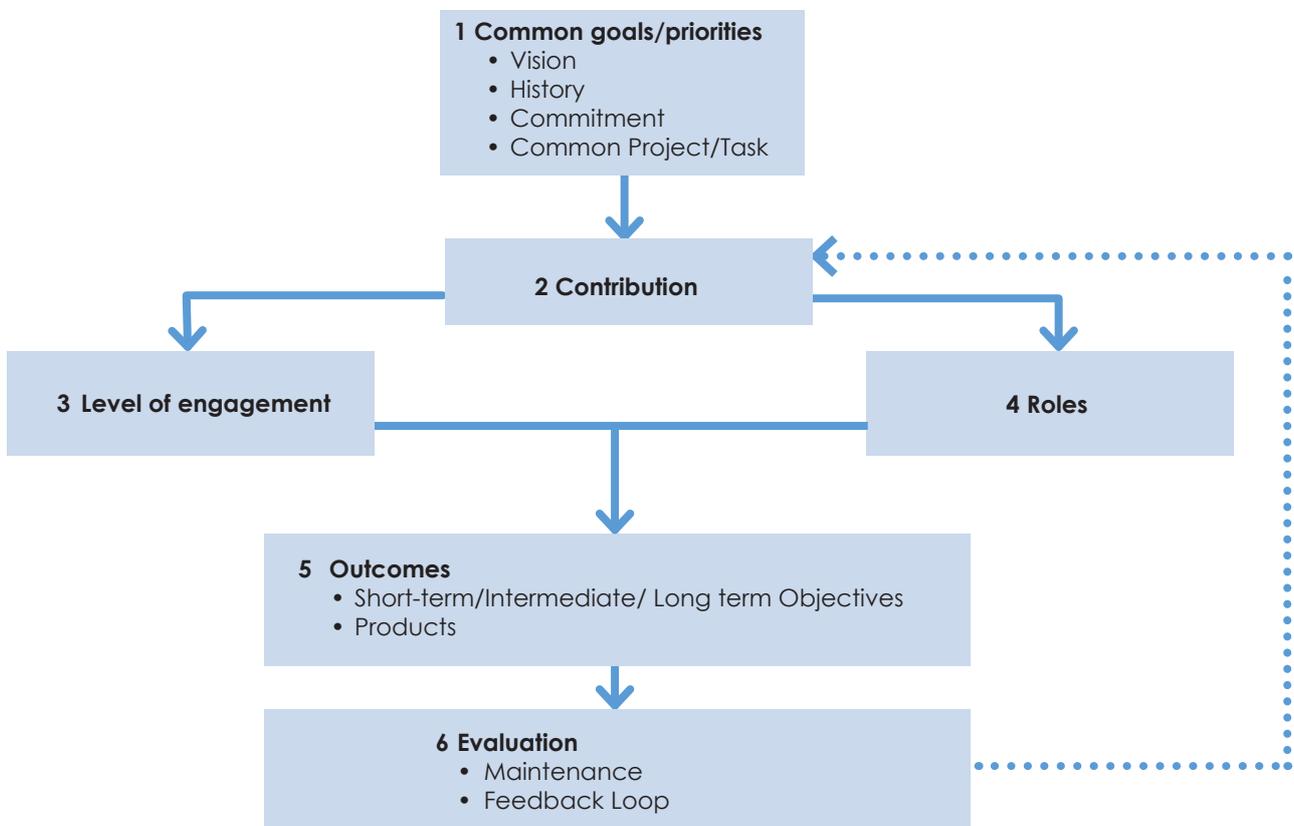


Figure 14: Strategic Partnership Framework

### C. Partnership Building

There should be agreement and documentation on the division of labor and workload distribution. This should be followed by approving and documenting a system of accountability. Decide on means and frequency of communication such as reports and briefs. There is a need for establishing a time frame for completion of the project and for the partnership itself if relevant.

The conflict resolution process should be clearly defined. Furthermore, the partnership will define short-term, intermediate, and long-term goals and objectives for the partnership. Describe any intended products or deliverables and the level of engagement such as innovation stage, learning stage, or scaling-up stage. New partners can be added by evaluating feedback on the Fund's strategic plan.

### D. Maintaining the partnership

Revisit accountability to determine that individuals are contributing and accomplishing their obligations. This is also to assess the structure of the partnership to determine whether it is working as designed. The existing working framework will be assessed quarterly to establish its effectiveness and whether there is a need for a change in approach. Transparency in decision-making shall be promoted.

### 7.2 Evaluating the partnership

This is the assessment of measurable outcomes. It answers the question of what has been accomplished, how much, and How well. Sharing findings to promote collective learning shall be part of the MEAL. WaterFund shall assess progress toward goals and shared expectations. This framework encourages revisiting of partner collective and individual missions to determine whether they changed, and how the change or lack of it affect the partnership.

Table 5: Key Partner Engagement Plan

Partner	Engagement Level	Role	Contribution
<b>Government Sector</b>	<ul style="list-style-type: none"> <li>National/County</li> <li>Directive</li> </ul>	Build an environment that supports research and innovation.	Resources Expertise
<b>Private Sector</b>	<ul style="list-style-type: none"> <li>Collaborative</li> <li>Contract</li> </ul>	Provide space for innovation incubation	Resources Expertise
<b>Water Sector</b>	<ul style="list-style-type: none"> <li>Collaborative</li> <li>Advisory</li> </ul>	Incubation and implementation of innovations	Resources Expertise
<b>Research Institutions</b>	<ul style="list-style-type: none"> <li>Collaborative</li> <li>Advisory</li> </ul>	Innovation and incubation, MEAL.	Staff Skills Expertise
<b>International Agencies/Donors</b>	<ul style="list-style-type: none"> <li>Grants</li> <li>Collaborations</li> </ul>	Funding support, enhancement of quality and accountability	Funds Expertise
<b>Training Institutions</b>	<ul style="list-style-type: none"> <li>Cooperative</li> <li>Collaborative</li> </ul>	Learning and knowledge dissemination	Staff Skills Expertise
<b>Local Communities</b>	<ul style="list-style-type: none"> <li>Advisory</li> <li>Collaborative</li> </ul>	Collaboration in problem identification and intervention	Time Advocacy
<b>NGOs</b>	<ul style="list-style-type: none"> <li>Advisory</li> <li>Collaborative</li> </ul>	Support more relevant research and innovation	Resources Advocacy

Table 6: WaterFund Research Stakeholder Analysis

SN	Stakeholder	Role
	Ministry of Water, Sanitation, and Irrigation (MOWSI)	<ul style="list-style-type: none"> <li>• Policy framework support.</li> <li>• Research funding.</li> </ul>
1	Kenya Water Institute (KEWI)	<ul style="list-style-type: none"> <li>• The undertaking of research projects,</li> </ul>
2	Water Resources Management Institute	<ul style="list-style-type: none"> <li>• The undertaking of research projects.</li> </ul>
3	Sewerage Research Centre	<ul style="list-style-type: none"> <li>• The undertaking of research projects.</li> </ul>
4	Regional Centre for Groundwater Resources	<ul style="list-style-type: none"> <li>• The undertaking of research projects</li> </ul>
5	Education, Training and Research Institutions	<ul style="list-style-type: none"> <li>• The undertaking of research projects.</li> </ul>
6	Water Resources Services Providers.	<ul style="list-style-type: none"> <li>• The undertaking of research projects</li> </ul>
7	County Governments (CG)	<ul style="list-style-type: none"> <li>• Funding and implementation of concepts.</li> </ul>
8	MSc, Ph.D., and post-Doctoral studies in water research and innovation.	<ul style="list-style-type: none"> <li>• The undertaking of research project activities</li> </ul>
9	Centre for Training and Integrated Research in ASAL (CETRAD)	<ul style="list-style-type: none"> <li>• Water resource research and training.</li> </ul>
10	NACOSTI	<ul style="list-style-type: none"> <li>• Research project approval and Certification</li> </ul>
11	Kenya National Innovation Agency (KENIA)	<ul style="list-style-type: none"> <li>• Structures and support on the promotion of innovation.</li> </ul>
12	UN-Water	<ul style="list-style-type: none"> <li>• Research project funding.</li> <li>• Best practice sharing.</li> </ul>
13	Kenya National Research Fund	<ul style="list-style-type: none"> <li>• Collaboration on research and innovation projects.</li> </ul>

# 8 Policy and Legal Framework



## 8.1 Research and Innovation Policy

### A. Introduction

This Policy document is a first version of the 1<sup>st</sup> edition of the Water Sector Trust Fund (WaterFund) research and innovation policy developed and takes into account numerous internal and external developments; Procedures, Guidelines, and Policies within the Fund, as well as various comments and suggestions, received since then.

It is expected that the full implementation of the research funding cycle will lead to the award of 200 research initiatives during 5 years within the thematic areas identified in Sections 1.6.1 and 1.62. This target is in line with the MOWSI Strategic Plan (2018-2022). The long-term expected output is that the research results are utilized in the development of the Kenyan water sector and will be guiding the investment decisions and the designing of the programs of the WaterFund:

- a) To establish WaterFund's position in Research and Innovation setting the course of action vis-à-vis the different challenges it faces.
- b) To lay down a standard approach and serve as a platform from which to develop WaterFund Research Hub and technical strategy.
- c) To define the guiding principles, approaches, and practices that govern Research and Innovation and related interventions

### B. Policy Intent

The purpose of this policy is to guarantee quality and provision of the framework for research and innovation and its management at WaterFund.

### C. Scope of Policy

This policy should be read against the mission of the WaterFund to produce high-quality, relevant, and focused research, supplying innovative solutions to challenges faced by the community, the country, the continent, and the world. Furthermore, as stated in the Institutional Strategic Plan 2018-2022, WaterFund strives to provide conditional and unconditional grants to the Counties and to assist in financing the development of and management of water services in the marginalized and under-served areas including; community-level initiatives for sustainable management of water resources, development of water services in rural areas considered not to be commercially viable for provision of water services by licensees and development of water services in the under-served poor urban areas.

### D. Policy Statement

It is the policy of the WaterFund that Research is executed in identified Research Entities that promote

research and innovation for the development of Kenya, the African continent, and the world.

### Principles

The research entity model is geared towards increasing research and innovation quality, research and innovation participation and productivity, research and innovation development, and funding. The research and innovation management model encourages, facilitates, and stimulates research and innovation.

### Principle of good research practice

The following principles aim to encourage consideration of the wider consequences of research and to encourage critical engagement in practical, ethical, and intellectual challenges that are inherent in the conduct of high-quality research. The WaterFund envisages these principles to be incorporated into all aspects of research and innovation activity.

The main principles of good research practice are:

#### d) Quality

The WaterFund encourages upholding of quality. Its researchers and grantees should continue to uphold excellence when conducting research and aim to produce and disseminate work of the highest quality.

#### e) Honesty

The Fund will continue working to create and maintain a culture of research that fosters and supports honesty in research. Researchers should be honest about their research and that of others. They should do their utmost to ensure the accuracy of data and results, acknowledge the contributions of others, and neither engage in misconduct nor conceals it.

#### f) Integrity

Researchers must comply with all legal and ethical requirements relevant to their study. They should declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.

#### g) Cooperation

The Fund promotes the open exchange of ideas, research methods, data, and results and their discussion, scrutiny, and debate, subject to any considerations of confidentiality.

#### h) Accountability

The Fund researchers and grantees recognize that in and through their work they are ultimately accountable to the general public and should act accordingly. They should ensure that any research undertaken complies with any agreements, terms,

and conditions relating to the project, and allows for proper governance and transparency.

### E. Conflict of Interest.

The WaterFund defines Conflict of Interest as a set of circumstances that creates a risk that an individual's ability to apply judgment or act in one could be influenced by a secondary interest. Even a perception of competing interests, impaired judgment, or undue influence may be damaging to WaterFund reputation.

Generally, conflicts might occur if grantees have:

- a) A direct or indirect financial interest.
- b) Personal interest.
- c) Competing loyalties between their professional ethics and some other entity.

The existence of an actual, perceived, or potential conflict of Interest does not necessarily imply wrongdoing on anyone's part. However, any private, personal, or commercial interests which give rise to such a conflict of Interest must be recognized, disclosed appropriately, and either eliminated or properly managed. WaterFund staff applying for research and innovation funding MUST declare their possible conflict of interest in the application and be exempted from any funding approval responsibilities.

The following may constitute a conflict of interest:

### F. Financial Interests

This is where an individual receives or may receive a direct financial benefit from the consequences of the awarding of funding, for example:

- a) A director, including a non-executive director, or senior employee in an organization which is doing, or which is likely, in receipt of funding or possibly seeking to obtain funding.
- b) A shareholder (or similar ownership interests), a partner or owner of a private or not-for-profit company which is doing, or which is likely, or possibly seeking to obtain funding.
- c) A shareholder of a Research Council related start-up, that the WaterFund has a direct interest.
- d) A management consultant for a business/individual.
- e) In receipt of secondary income from a business/individual.
- f) In receipt of any payments (for example honoraria, one-off payments, day allowances, or travel or subsistence) from an organization possibly seeking to obtain funding.

### G. Indirect financial interests

This is where an individual has a close association with an individual who has a financial interest, a non-financial professional interest, or a non-financial personal interest in a commissioning decision (as those categories are described above) for example:

- a) Spouse / partner
- b) A close relative (e.g., parent, grandparent, child, grandchild, or sibling)
- c) Close friend.
- d) Business partner.
- e) A financial relationship (e.g. pension) with a business/individual seeking to obtain funding

### H. Non-financial professional interest

This is where an individual may obtain a non-financial professional benefit from the consequences of a funding award, such as increasing their professional reputation or status or promoting their professional career. This may, for example, include situations where the individual is:

- a) An advocate for the grantee, or
- b) A member of a particular specialist professional body.

### I. Non-financial personal interest

This is where an individual may benefit personally in ways that are not directly linked to their professional career and do not give rise to a direct financial benefit. This could include where the individual is:

- a) A voluntary sector champion for business.
- b) A volunteer for business, or
- c) A member of a lobby group with an interest in research or development.

### J. Indirect Interests

This is where an individual has a close association with an individual who has a financial interest, a non-financial professional interest, or a non-financial personal interest in a commissioning decision (as those categories are described above) for example, a:

- a) spouse / partner
- b) a close relative (e.g., parent, grandparent, child, grandchild, or sibling)
- c) close friend
- d) business partner

## K. Intellectual Property

To harmonize the various conflicting interests of stakeholders and achieve broad-based objectives in research and innovation, this policy will address some of the following issues:

- a) Coverage of intellectual property;
- b) Ownership of intellectual property;
- c) Disclosure of intellectual property;
- d) Marketing, commercialization, and licensing of patents;
- e) Distribution of income;
- f) Rights and obligations of an inventor and the institution;
- g) Other pertinent issues.

## L. Intellectual Property Rights

This policy covers the following intellectual properties:

- Utility models
- Patents
- Industrial designs
- Trademarks
- Copyright

### Utility Models

In general terms, a utility model is an invention that does not meet all the requirements of patentability but has an industrial use. The inclusion of utility models into the intellectual property system has the primary objective of nurturing the rapid evolution of indigenous innovativeness, particularly in small and medium-scale enterprises and among private persons. All utility models shall be jointly owned by the Fund and the grantee.

### Patents

A patent is an exclusive right granted for an invention, which is a product or a process that provides a new way of doing something or offers a new technical solution to a problem. The protection is granted for a limited period, as guided by the laws of Kenya. All inventions acquired through the WaterFund's funding shall be patented jointly with the grantee.

Patent protection means that the invention cannot be made, used, distributed, or sold on a commercial scale without the patent owner's consent. These patent rights are enforced in a court of law, which holds the authority to stop patent infringement. Conversely, a court can also declare a patent invalid where it is successfully challenged by a third party. On registration and the grant of rights, annual fees are charged by the relevant authorities to maintain them.

A patent does not give its owner the positive right to use the patented invention. Third parties may have to be requested. The patent owner has the right to decide who may or may not use the patented invention throughout the period during which the invention is protected. The patent owner may permit other parties, or license them, to use the invention on mutually agreed terms. The grantee jointly with the WaterFund may also sell the right to the invention.

### Industrial Designs

An industrial design is the ornamental or aesthetic appearance of an article. The design may consist of three-dimensional features of the article, such as its shape or surface, or two-dimensional features such as patterns, lines, or color.

Under this policy industrial designs are embodied in a wide variety of products related to water management, distribution, and sanitation services. An industrial design must appeal to the eye. This means that it is primarily aesthetic, and does not protect any technical features of the article. Industrial designs are what make an article attractive and appealing and thereby add to its commercial value and increase their marketability.

### Trademarks

This is a distinctive sign that identifies certain goods or services as those produced or provided by a specific person or enterprise.

The system helps the market identify and purchase a product or service because of its nature and quality, indicated by its unique trademark, meet their needs. A trademark affords protection to the owner of the mark by ensuring his exclusive right to use it to identify goods or services or to authorize another to use it against payment.

In a larger sense, trademarks promote initiative and innovation by rewarding ownership. Trademark protection also hinders the efforts of unfair competitors, such as counterfeiters, to use similar distinctive signs to market inferior or different products or services. Trademarks may be one or more words, letters or numerals, or a combination of all three. They may consist of drawings, symbols, three-dimensional shapes such as the outward form and packaging of goods, audible signs such as music or oral distinguishing features or smells.

## 8.2 Research Data Management Policy

### A. Introduction

The Water Sector Trust Fund (WaterFund) is committed to maintaining the highest standards of rigor and integrity in its research. It recognizes that research data are a key asset that will continue to yield benefits after the conclusion of the project. Many research projects

collect personal data from individuals in the form of personal research data. WaterFund recognizes its duty to protect the confidentiality of the personal research data in keeping with its responsibilities, and any research project that collects personal data must have formal ethical approval from the WaterFund and under NACOSTI regulations.

This policy sets out the principles that should be followed by staff and grantees in the creation, collection, and curation of research data.

## B. Policy

The Fund establishes research data management in alignment to the Kenya Data Protection Act, 2019 and the international standards, such as the FAIR principles, and thereby support the development of a global research community in which research data is widely shared. This should help to:

- a) Improved quality of research through a better opportunity to build on previous works and to compile research data in new ways.
- b) Transparency in the research process and better opportunity for verifiability of scientific results.
- c) Increased cooperation and less duplication of research work.
- d) Increased innovation in the private and public sectors.

## C. Scope

This policy covers all data collected during a research study regardless of format or whether or not the research is funded. It applies to all members of the WaterFund and grantees conducting research or involved in the creation, collection, or curation of research data.

## D. Principles

### 1. Ownership

All research data generated by WaterFund staff or grantees are wholly owned by the Fund. Unless it is a condition of an external grant or contract, exclusive rights to research data must not be assigned, licensed, or otherwise transferred to external parties.

### 2. Management of Data

Primary responsibility for the management of data produced during research activities lies with the WaterFund Principal Officer, Knowledge Management. When research is conducted with other institutions and independent researchers, all parties should agree on a plan for managing the data generated during the study.

## 3. Collection of personal research data

All data collection under WaterFund funding MUST have formal ethical approval from the WaterFund under NACOSTI regulations. The study must ensure that the participants have given their 'informed consent'. This must inform participants about how research data will be stored, preserved, and used in the long-term, and how confidentiality will be maintained. The 'informed consent' should enable the data collected to be made available to other researchers. Personal research data should be held in a fully anonymized form that protects the confidentiality of the participant.

## 4. Data management plans

Every project should have a data management plan (DMP) before the commencement of research projects. This sets out the arrangements for research data management throughout the project life cycle. The plan should respect the policies of the Fund and other interested parties unless otherwise agreed. In the case of personal research data, the DMP is a required component of the application for research ethics review.

## 5. Storage

The storage of research data must conform to the following characteristics:

- a) It is stored with appropriate metadata to facilitate reuse;
- b) The storage is secure, safe, and backed up regularly (where local storage is chosen, this should be on WaterFund networked drives);
- c) It is stored in a manner that is compliant with legal obligations and the requirements of partners and project-specific guidelines;
- d) The storage complies with other existing WaterFund policies.

Personal data acquired from participants in research studies should be held in an anonymized form that fully protects the participant's identity. Personal data should be anonymized during the study, and not just at its conclusion.

Users are liable and responsible for the security of data whilst working off-site. If cloud storage is being considered the Code of Practice for Using Cloud Services draws attention to security concerns of data managed through cloud-based software. Particular care should be exercised when using cloud software to store or transfer personal research information.

The WaterFund provides robust and secure active research data storage. Where storage requirements are very large or need to be customized, charges may apply. The costs of storage and management of research data should be incorporated into the overall costing of research projects, and, where possible, included in research grant applications.

## 6. Retention

The WaterFund requires that research data necessary to support or validate a research project's observations; findings or outputs must be retained in an appropriate format and storage facility for at least 10 years. The retention of this research data must also comply with any requirements specified by the Fund.

Discovery metadata from all research undertaken by WaterFund researchers, irrespective of where the data is stored, or whether the WaterFund plays a collaborative or lead role, should be recorded within the WaterFund's research data catalog. Any deletion of data must also comply with the Information Security arrangements of the WaterFund.

## 7. Access and sharing

All research data produced by WaterFund funded researchers should be made openly available with as few restrictions as possible on time. Personal research data may be made available if it is in an anonymized form and there is informed consent for it to be shared.

Sharing of research data will be restricted when;

- a) The rights of individual researchers/and or subjects would be compromised;
- b) The research has an Intellectual Property opportunity arising from it, in alignment with the Research Policy;

- c) It includes secondary data that you may have had the right to use as part of your research, but do not have the right to share with others.

Published results should include a data statement on how to access the supporting data including details on any access restrictions. A simple direction to interested parties 'to contact the author' is not sufficient. Freedom of Information requests that relate to research data should be directed to the Legal and Compliance department.

## E. Exceptions to open access

Data sets shall not be made openly accessible if data disclosure might threaten personal or national security, and if data disclosure cannot be incognito to comply with the applicable personal privacy regulations, the data sets will not be made openly accessible. Data sets shall not be made openly accessible if data disclosure conflicts with other legal provisions.

Data having commercial value and that is generated in projects where the fund has a contract with partners may be exempted from the general principle of open access. In such cases, it is recommended that the research data be made available after a specified period. In cases where data disclosure has significant financial or practical consequences for those who have generated/gathered the data, or for WaterFund, the data sets may be exempted from the general principle of open access if a satisfactory argument can be presented forth.

# Annexures



## ANNEXURE A: RESEARCH COMMITTEES TERMS OF REFERENCE



### Research Committees Terms of Reference

#### 1. Establishment

The Research Committee will be appointed by the CEO through an Executive appointment MEMO on the advice of the General Manager responsible for Research and Innovation.

#### 2. Functions and Responsibilities

The Research Committee is responsible for the coordination of research activities within the Fund. The Committee's functions and responsibilities are to advise and report to the CEO on research priorities for the Fund, as informed by the evolving WaterFund Plan, including recommendations in areas such as:

- a) Alignment of research and innovation activities with WaterFund mandate
- b) Research and innovation collaborations and themes.
- c) Research and innovation excellence, concentration, and focus.
- d) Research and innovation investment
- e) Engagement relationships with external stakeholders.

The committee will be responsible to advise and report to the CEO on:

- a) Research and innovation infrastructure need and priorities for the Fund.
- b) Initiatives and programs which will develop and promote research and innovation integrity and the conduct of quality research and innovation.
- c) Initiatives and programs that will develop and promote the up-skilling and training of WaterFund staff engaged in research and innovation, including fostering and delivering training in the successful management of research and innovation partnerships
- d) Monitoring, promoting, and fostering the work of Research and innovation hub.
- e) The principles and procedures governing the conduct of all contract and collaborative research and innovation including the identification, ownership, management, and

protection of WaterFund intellectual property, licensing, joint ventures, and other commercial arrangements.

The Committee will also:

- a) Review goals and monitor the implementation of the research and innovation component of the WaterFund's Strategic Plans.
- b) Monitor institutional statistics and data analysis, statistical projections, modeling, and relevant analysis related to research and innovation matters and provide advice to the Board and the CEO.
- c) Monitor and review benchmarking relevant to research and innovation within the Fund and sector and suggest opportunities for further benchmarking.
- d) Advise and report to the CEO on principles and practices to govern the disbursement and/or award of untied research funds both internally and externally generated, accountability requirements, mechanisms for the use of such funds, and methods to quantify outcomes from such disbursement/award.
- e) Develop and review policies and practices to improve the quality, impact, and quantity of research and innovation activity, monitor implementation, and evaluate outcomes.
- f) Consider other such matters on research and innovation as may be referred to and directed by the Board or the CEO.

#### 3. Delegated Authorities

The WaterFund Board has delegated to the Committee the authority to:

- a) Designate, support, and review identified areas of research and innovation concentration, strength, excellence, and focus, and report on these to the Board.
- b) Develop mechanisms to monitor and evaluate research and innovation activities in the context of resourcing, support, and performance across the Fund, including higher-level outcomes, and

- c) Approve and expire all policy documents which are considered within its Terms of Reference.

#### **4. Referral of Matters**

The Committee may refer any item to the Management for discussion, consideration, and/or action, and may refer relevant matters for action or noting to other committees or officers as appropriate.

#### **5. Membership and Terms of Office**

The Committee shall comprise Nominated members representing the following divisions/departments:

- a) Planning, MEAL
- b) Investment services
- c) Funds growth and development
- d) Finance
- e) Corporate services.
- f) Supply chain management
- g) Legal services.

The secretariat services will be offered by the department responsible for research actions in the Fund. Co-opted members: (2 members). Such other members as co-opted by the Chair to provide input into particular matters and to ensure representation consistent with the committee's responsibilities.

#### **6. Terms of office**

All members are expected to represent their full constituency and maintain effective communications between their professional area and the Committee, as appropriate. New members will, on their appointment, receive relevant induction information and briefings to assist them to meet their Committee responsibilities. Gender representation on the Committee's membership is encouraged. The members may send a nominee when unable to attend a meeting or nominate a standing nominee. The members shall serve for the duration of their appointment. To ensure continuity of operations, one-half of the appointed members will be retained in subsequent reappointments.

#### **7. Chair and Deputy Chair**

The Chair shall be appointed by the WaterFund management and who will be the General Manager in the department responsible for research. The Deputy Chair shall be appointed by the Committee members. The Chair shall nominate an alternate Chair if the Chair and Deputy Chair are unable to attend a scheduled meeting.

#### **8. Secretary**

The Manager, Research, and Innovation Unit shall be the Secretary.

#### **9. Removal of a Member from Office**

The removal of a member of the committee will be through an executive memo signed by the appointing authority.

#### **10. Quorum**

The quorum for a committee meeting shall be 50% of the membership, plus one. Where a loss of quorum is identified, the meeting may be adjourned until a time the Chair determines. Any matters for decision considered when the meeting is inquorate must be subsequently ratified at the next Committee meeting before those decisions can be actioned.

#### **11. Conflict of Interest**

Committee members are required to declare to the Chair any real, perceived, or potential conflict of interest they may have with any item on the Committee's agenda. If the Chair or Committee deems a member to have a conflict of interest in a matter before the Committee, the member will be excused from committee discussions and deliberations on that matter. Further details on identifying and dealing with a conflict of interest are provided in the Conflict of Interest Policy and Procedure.

#### **12. Meetings**

Committee meetings may be held face-to-face, by telephone, videoconference, or other electronic means. The Committee shall determine its meeting schedule annually in advance and meet as scheduled. Committee decisions may be made at a duly called and constituted meeting or by a resolution in writing and physically or electronically signed. Committee members are required to fully prepare for each meeting, read the documentation in advance, and make every reasonable effort to attend each meeting.

#### **13. Agendas and Minutes**

Agendas and associated documentation will be distributed at least three working days before the meeting by the secretary. Members will be notified by email of the location and availability of material. Members are encouraged to view the agenda electronically during the meeting.

Only with the Chair's permission will late papers or the tabling of papers be accepted. All papers

must be submitted to the Secretary by the specified submission deadline. Committee records must be retained by the Secretary under the WaterFund's Records Management Policy and Procedure. Minutes are to be prepared for each meeting. The Chair will review the draft minutes and action sheet of each meeting, after which the Secretary will circulate the documents to all committee members and include them in the agenda papers for the next meeting.

## **14. Evaluation and Review**

To ensure the Committee is fulfilling its duties, it will undertake an annual self-assessment of its performance against these terms of reference and provide that information to the Management, along with any information the Management requests to facilitate its review of the Committee's performance and its membership. The CEO shall review these terms of reference every two years, in conjunction with the Committee, and provide a report, including any recommendations, to the Board.

## ANNEXURE B: WATERFUND RESEARCH AND INNOVATION



### WATERFUND RESEARCH AND INNOVATION

#### CONCEPT NOTE OUTLINE

##### Note

The Concept Note is part of a 2-step application process. If the Concept Note is approved the applicant will be requested to submit a full proposal.

In some instances, if the Concept is well developed and provides sufficient information, and/or the grant requested is less than Kshs. 200,000, the Concept Note will be considered to be sufficient.

The applicants must submit Concept Notes and other required attachments to the Water Sector Trust Fund (WaterFund). The following documents are required to be submitted with the Concept Note:

**1. A signed declaration by the applicant** must be submitted on appropriate letterhead, including the following:

"I, the undersigned being the person responsible in the Applicant's organization for the proposed Project, do hereby certify that the information given is true and correct at the time of submission."

[Signature]

[Name]

[Position]

[Place]

[Date]

**2. Certificate of registration of the applicant organization OR National Identification for individual applicants.**

**3. Log Frame for the proposed research project.**

Please refer to Annex for a template.

Legal Name of Applicant	
Short Name (Acronym)	
Type of Organization	
Year Organization Established:	
Address:	
The number of staff members:	
Purpose/ Mission:	
The main focus of activities undertaken	
Website Address:	
Contact Person Name:	
Contact Person Position:	
Contact Person Email:	
The telephone of Organisation:	
Contact person telephone:	

#### 4. Background to the proposed project

- a) Briefly describe the water research problem or need or opportunity you wish to address and why you wish to address this problem.
- b) What are the causes of the water problem or need or opportunity you have identified?

#### 5. Project Description

- a) What is the geographical scope of the proposed research project?
- b) What is the thematic area of the proposed research?
- c) What are the main goals of the proposed research and the expected outcomes?
- d) How will the pro-posed project contribute to the objectives of the Mandate?
- e) What are the likely activities you will implement to address the problem or need or opportunity you have identified?
- f) Provide a short description of each activity and how they will contribute to the achievement of the goal of the proposed research project.
- g) Provide a Log frame using the template provided below.

##### Logframe

Logic of Intervention	Objectively Verifiable Indicators	Sources of Verification	Targets	Budget	Assumptions & Risks
Overall Objective(s)					
Specific Objectives					
Outputs (Research Results)					
Activities					

#### 6. Description of the organization applying for the grant.

- a) Date established.
- b) Vision and Mission of the organization.
- c) Goals and Objectives of the organization.
- d) The number of technical staff.

#### 7. Partners for the proposed research project

- a) Will there be other agencies involved in providing financing and technical assistance to the project?
- b) Who are the partners and what type of assistance will they be providing?

#### 8. Management Structure for the research project

- a) Who will be responsible for managing the, including reporting and monitoring and evaluation?
- b) Who will be responsible for the financial management of research?

#### 9. What is the estimated cost of the project? \_\_\_\_\_(KES)

- a) What is the estimated budget for each activity?
- b) Is there a secured in-kind/matching financing/cost-sharing arrangement for this research?
- c) Which activities will this matching funding be used for?

## ANNEXURE C: FULL PROPOSAL TEMPLATE



### WATERFUND RESEARCH AND INNOVATION FULL PROPOSAL TEMPLATE

This template will be used by applicants whose Concept Notes have been approved and have been invited to prepare a Full Proposal (FP) for further evaluation. Information that was already provided in the Concept Notes may be repeated and expanded in the FP.

Applicants must complete the Full Proposal template in full, not exceeding the prescribed length of each section. The recommended font is Times New Romans size 12.

The maximum grant amount per project is KES 15M, but averages around KES 7.5M. In this way, Water Sector Trust Fund (WaterFund) can provide a window for the direct participation of NGOs, local communities, and other grassroots organizations, in addition to public and private sector agencies, international agencies registered in and working in Kenya for the previous 5 years, and academia.

All projects must be completed within 3 years. Grantees that can show at least fifteen percent (15%) contribution (cash or in-kind depending on the nature of the entity) may be reviewed favorably.

#### Instructions

- a) Fill the project summary form.
- b) Write all sections of the project following the outline below. The whole proposal should not exceed 25 pages of text (including any charts or diagrams)
- c) Additional attachments (not more than 10 pages) may be submitted, including documents certifying the status of the organization, endorsements of the proposed project, funding commitments or other indicators of participation and support from other institutions, and evidence of community support and participation.
- d) Fill tables in Schedules 1 to 3. You can use additional sheets for tables if those provided are not sufficient.
- e) Submit an electronic copy of the project document through the WaterFund research application link.

### SUMMARY FORM

#### GENERAL INFORMATION

<b>Project Title</b>
<b>Brief Description of Organization</b> (Legal Name of Entity; Year established; Purpose and Mission; Main focus of Activities, etc.)
Contact person for this proposal Name: Position: Address: Telephone number(s): Email address:

## PROJECT

**Thematic area of Project** Please tick as appropriate the primary focal area of the project

<input type="checkbox"/>	Water services
<input type="checkbox"/>	Water resources
<input type="checkbox"/>	Sanitation services
<input type="checkbox"/>	Sewerage services

### Project Summary:

The Project Summary should describe the project context, including the key water services, sanitation services and water resources problem to be addressed, and the proposed approach, including the rationale/justification for the project; project duration; overall budget; and amount requested from the WaterFund.

## BUDGET

Funding Source	Total Budget (KES)	Cash (KES)	In-Kind (KES)	Percentage in Cash
WaterFund				
Grantee				
Any other partner				
Other Co-financiers (Specify)				
Total				

## Project Proposal Guidelines

### 1. Background of the project and description of the problem

Describe the context relevant to the project, including what are the environmental risks that need to be reduced and the factors that can increase or perpetuate the problem. Include in the description information on the targeted theme.

Present the justification for the project. The justification should indicate the importance of the proposed project to the Mission and Goal of the WaterFund. It should also reflect the relationship of the project to other relevant government programs, other multilateral and bilateral aid agency projects, and other community-based, CSO, and/or private sector activities. This will ensure that the intervention is not a standalone activity.

It is important to provide all facts indicating that once the project is funded and implemented, it will significantly improve the existing water services, sanitation services water services management, and monitoring.

### 2. Project Objectives

Present the project's main objective and specific objectives in not more than 2 paragraphs. Show linkages between project objectives and targeted WaterFund thematic areas.

### 3. Theory of Change/Log Frame

Please provide a summary narrative demonstrating how the proposed interventions will generate the expected results presented in the Concept Note. Also, use this section to detail, or adjust if necessary, the content provided in the Log Frame presented in the CN. The establishment of a logical causal (cause and effect) link between objectives, outputs, and activities should underlie the writing of the « objectives, outcomes, activities » sections. Use the Template provided in Schedule 1 to develop the Log Frame.

### 4. Schedule of Activities

Using the Template provided in Schedule 2 please list the activities to be carried out and the expected milestones under each output that is included in the Log frame. Also, identify the milestone for each output. The number of columns will depend on the duration of the project. The maximum duration of the project cannot exceed 36 months. Schedule 2 will be used by the WaterFund to monitor project activities.

## 5. Budget

- a) Provide detail budgetary allocation for each activity or group of earmarked activities (lump sums should be avoided).
- b) Indicate the contribution (cash or in-kind) from the grantee. All cost-sharing contributions (cash and in-kind) should be itemized. This should include sources and the nature of the contribution. Please indicate whether the contribution is already committed or just a projection.
- c) Make budgetary provisions for institutional support (office running costs, reports ...) which should not be more than 10% of the total budget. The provisions for institutional support should be specific to project activities. The WaterFund will not cover staffing costs. The grantee must make some contribution towards the operational and programmatic costs of the project. Such contributions can be in-kind. The costing of such in-kind contributions should not be inflated but reflect existing market prices.
- d) Make budgetary provisions for visibility and communications. The total amount to be received from the WaterFund, including institutional support and visibility, should not be more than KES 15M. Show possibilities, where available, for co-funding as well as a partnership with the private sector. Please use the Template in Schedule 3 to prepare the budget.

## 6. Communications, Visibility, and Knowledge Management

Please describe how you would communicate the goals, activities, and results of the project with other key stakeholders; indicate activities to carry out to ensure the visibility of the project; describe how you plan to capture, share and disseminate the knowledge, lessons learned, and good practices gained through the implementation of the research project. If the project requires awareness-raising, please describe the plan/ activities you would use to achieve the target results and ensure the replication of project results. These activities should be incorporated into the project, Log frame, project schedule, and budget.

## SCHEDULE 1

### Logframe

Complete the table below. The Logframe essentially provides a summary of the project down to the activity level. For each level of the expected result, define a reasonable and balanced number of effect and performance indicators. Indicators should be "SMART," that is, specific, measurable, achievable, relevant, and time-bound.

The Logframe will be used by the WaterFund to monitor the research project's progress and to evaluate its success and achievement at the end

<b>Goal:</b> State the long-term social and/or economic (impact) benefits to which the project will contribute and describe why the project is important for the beneficiaries and for the society: The broad development impact to which the project contributes – at a national or sector level.
<b>Purpose(s):</b> State the expected outcomes, or direct effects, of the project. These are the benefits to be derived from the project. You should normally have only one Purpose in a project. Experience has shown that it is easier to focus project Outputs on a Single Purpose. If there are several Purposes the project efforts become diffused and the design is weakened.
<b>Outputs:</b> They describe what the project will deliver.
<b>Activities:</b> Indicative activities that will achieve the outputs; Good, people, and services necessary to undertake the activities.

**Objectively Verifiable Indicators (OVI):** The OVI is a performance measure based on the principle that if you can measure it you can manage it. The OVIs specify the performance standard to be reached to achieve the goal, the purpose, and the outputs. They are specified in terms of quantity, quality, time, target group, and place. It is better to use a few well-targeted OVIs.

Goal level indicators often describe the program or sector objectives to which this project and several others are directed. For this reason, the Goal level indicators may include targets beyond the scope of the project.

Purpose level indicators Describe the returns on the investment and the benefits that the project will deliver. These indicators should be directly related to project outputs. Since outcome indicators define the criteria for assessing whether the project is successful, they should be realistic and achievable given your capacity and resources. Outcome indicators should only state what will be measured, rather than providing baseline data or target figures.

Output level indicators describe the delivery of the products of the project.

Activity level indicators are essential to understand the extent to which a project was delivered as planned and to highlight obstacles to implementation. Activity indicators must capture those elements of the project that are essential for its success.

**Sources of Verification:** Describe the sources of information that will demonstrate what has been accomplished.

**Assumptions:** Important events, conditions, or decisions that are beyond the control of the project management team, but which are necessary to accomplish the project; and which are necessary for the production of the outputs. Assumptions are things you assume are in place which will contribute to the success of the project. Assumptions and risks are external conditions that are outside the control of the program. The success of the project depends on whether or not assumptions hold and the risks do not materialize.

**Risks:** events that can harm the project if they occur.

Name of Proposed Project:					
Submitted by:					
Logic of Intervention	Objectively Verifiable Indicators	Sources of Verification	Targets	Budget	Assumptions and Risks
<b>Goal:</b>					
<b>Purpose:</b>					
1					
2					
....					
<b>Outputs</b>					
1					
2					
3					
....					
<b>Activities</b>					
1					
2					
3					
4					
....					

## SCHEDULE 2

<b>Name of Project:</b>													
<b>Submitted by:</b>													
	<b>Schedule in Months</b>												<b>Deliverables</b>
	1	2	3	4	5	6	7	8	9	10	11	12	
Output 1:													
Activities:													
1.1													
1.n													
Output 2:													

## SCHEDULE 3

Budget Items	Source of Funds in KES			Total	
	WaterFund	Grantee			Other Sponsor (s)
		Cash	In-Kind		
<b>Output1:</b>					
<b>Activities</b>					
1.1					
1.n					
<b>Output2:</b>					
<b>Activities</b>					
2.1					
2.n					
<b>Institutional Support</b> (no more than 10% of the Total Budget)					
<b>Visibility, &amp; Communications</b>					
<b>Total</b> (No more than KES 15M)					

## ANNEXURE D: EVALUATION SCORING



### SHEET FOR CONCEPT NOTE

#### WATERFUND RESEARCH AND INNOVATION EVALUATION SCORING SHEET FOR CONCEPT NOTE

The evaluation scoring sheet for Concept Notes (CN) should be completed for all applications received. All CNs received will be given a control number by WaterFund. If the CN has "NO" as an answer to any of the questions in the Compliance section, then the evaluation should not continue. Nevertheless, the scoring sheet together with the proposal should be registered in the WaterFund's grant-making files. The Applicant and Project Approach sections should be completed by individual evaluators and the proposal should have a final score composed of the arithmetic average of the individual scores received. The maximum score is 80 points, being 20 points for Applicant and 60 points for the Project Approach.

Project Title:

Project number: (given by WaterFund)

<b>COMPLIANCE:</b> To be answered by the Unit. All answers must be Yes for the CN to proceed to be evaluated.				
1	Is the CN form complete?	Yes	No	
2	Are the required annexes attached?	Yes	No	
3	Is the applicant eligible?	Yes	No	
4	Is the project type eligible?	Yes	No	
5	Is the project related to one or more WaterFund defined objectives?	Yes	No	
Identify the WaterFund Objective to which the project is related				

Applicant: To be answered by WaterFund [Score each aspect from 1 to 5, being: 1 – no or not clear, 2 – unsatisfactorily, 3 – partially, 4 – satisfactorily, 5 – fully]			
Evaluation aspects		Score	Comments
1	Does the applicant have experience in the proposed thematic area?		
2	Does the applicant have experience with the intervention proposed?		
3	Does the applicant have a track record in managing research projects with budgets similar to the amount requested?		
5	Is the applicant in the Water Sector industry? For this answer consider 1 – no and 5 - yes		
TOTAL SCORE (maximum score of 20)			

<b>RESEARCH PROJECT APPROACH:</b> To be answered by the WaterFund Score each aspect from 1 to 5, being: 1 – no or not clear, 2 – unsatisfactorily, 3 – partially, 4 – satisfactorily, 5 – fully			
Evaluation aspects		Score	Comments
1	Does the research present a clear and coherent logic of intervention?		

2	Does the research support national policies and strategies in water supply management or similar thematic areas?		
3	Is there an alignment of the proposed research with the objectives of WaterFund?		
4	Does the research clearly define the benefits (outcomes) that it will achieve?		
5	Does the research benefit marginalized and vulnerable groups?		
6	Does the research contribute towards creating the necessary environment for robust communities?		
7	Does the research maintain, replicate, or scale-up an already tested approach that was successful?		
8	Does the research create new approaches in water supply management?		
9	Does the research include the needed stakeholders or partners for its implementation to be successful?		
10	Does the research connect on-the-ground with higher-level activities (e.g. policy action, service practice changes, sustainable finance mechanisms) to foster structural and sustainable change?		
11	Do the research leverage other technical and financial resources?		
12	Does the research estimated budget have a coherent relationship with the project activities?		
<b>TOTAL SCORE (maximum score of 60)</b>			

TOTAL CONSOLIDATE SCORE:

## ANNEXURE E: PRIORITY LIST OF APPROVED CONCEPT NOTES



### PRIORITISED LIST OF APPROVED CONCEPT NOTES

Year:		
Cycle:	1.	
	2.	

CONCEPT NOTES					
No.	Name of the proposed Project	Score	Priority	Selected Y/N	Comments

Signed .....

Name .....

Position .....

## ANNEXURE F: EVALUATION FOR PROJECT PROPOSALS



### EVALUATION CRITERIA FOR PROJECT PROPOSALS

The evaluation scoring sheet for Project Proposals (PP) should be completed for all proposals received. All proposals received will be given a control number by the Fund. This control number will match the number given to the Concept Note.

On completion of this Compliance, Section prepares a report that will accompany the Project Proposal submission to RC. It is strongly recommended that Secretariat staff undertake a site visit when preparing this section. The site visit will, among other things assist in determining whether:

- a) Some other assistance should be offered to increase the effectiveness of the prospective grantee so that grant funds are utilized efficiently; and
- b) There is a genuine case for the proposed research project. Also, making personal contact with the prospective grantee will assist the Fund Secretariat in answering any of the questions which the applicant did not address.

The Fund Secretariat should score the Compliance Section (a score of 1 to 5, with 5 being highest) based on the information generated from the proposal, a site visit, and additional discussions with the applicant. If the score is less than 2 then the Proposal is rejected and is submitted to RC only for their review and not for evaluating and scoring. If an individual RC member does not agree with the Secretariat's scoring of the Compliance Section, then the matter is resolved by the RC by way of a unanimous vote. The RC can also request the Secretariat to obtain additional information or undertake a site visit themselves before taking a vote.

All sections other than the Compliance Section should be completed by individual appraisers and the proposal should have a final score composed of the arithmetic average of the individual scores received. The maximum score is 135 points, being 20 points for Applicant Organization and 115 points for the Project Approach.

<b>Project Title:</b>
<b>Project number:</b> (given by the Fund and associated to Concept Note number)

<b>Compliance:</b> To be answered by the Secretariat
All answers must be answered and a report prepared for the RC. It is highly recommended that the Fund Secretariat staff undertake a site visit when preparing this section.

	Yes	No
Is the proposed Research Project in line with WaterFund's mission?		
Is the proposed Project aligned with the Grantee's stated mission & competencies?		
Does the Project meet WaterFund eligibility criteria?		
Is the Summary form according to the template provided and complete?		
Is the Proposal more than 25 pages and the annexes more than 10 pages		
Does the proposal include a Log Frame, budget & schedule according to Guidelines?		
Is there a genuine need for the research project to be undertaken and is there sufficient evidence that it will make a positive difference?		
Is the project consistent with national and international policies and strategies related to the thematic area of the project?		
Is the grantee capable of carrying out the proposed activities?		
Has the Grantee received a previous grant from the Fund?		

If the grantee has received a previous WaterFund Grant, when and how much? Was it completed and a final Close Out Report submitted? .....

Is this a once-off project or is it a pilot project to test a new approach that might be taken to scale? .....

Does the Fund have sufficient funds in this cycle to cover the stated budget in the proposal? .....

Applicant Organisation: To be answered by the RC  
 Score each aspect from 1 to 5, being: 1 – no or not clear, 2 – unsatisfactorily, 3 – partially, 4 – satisfactorily, 5 – fully

Evaluation aspects	Score	Comments
Are the applicant organization and the proposed project aligned with the WaterFund vision"?		
Does the proposal provide sufficient evidence that the applicant organization is trying to address conservation and/or environmental issues that are of high priority to the country, regionally, and internationally?		
Does the Proposal provide sufficient evidence that the applicant organization has experience with the intervention proposed?		
Is the proposal clear about how the applicant organization will deliver the expected results and outcomes?		
TOTAL SCORE/20		

**Project Approach:** To be answered by the RC  
 Score each aspect from 1 to 5, being: 1=No/Not clear, 2= Unsatisfactorily, 3=Partially, 4= Satisfactorily, 5=Fully. Questions not relevant to the proposed project mark N/A

Evaluation aspects	Score	Comments
Does the title of the project provide adequate information about the project without being too lengthy or complicated?		
Is the title specific to the project?		
Does the Project Summary explain why the project is important and briefly describe the goals/objectives?		
Does the Background section establish the context and relationship between the applicant organization's mission and the proposed project?		
Is the description of the Problem clearly defined; does it describe the causes of the problem; and explain the long-term effects of the problem without the intervention(s) proposed by the project?		
Does the proposal demonstrate a clear understanding of the thematic area?		
Do the activities identified in the proposal sufficient or too extensive to achieve the proposed outcomes and within the proposed budget?		
Does the proposal demonstrate that the proposed project addresses an important problem and that the best practices and lessons learned will contribute towards increasing the knowledge of the thematic area?		

Is the overall purpose of the Project clearly defined and is it reflective of the applicant organization's goals?		
Is there a clear connection between how the problem will be solved and the goals of the proposed project?		
<b>Evaluation aspects</b>	<b>Score</b>	<b>Comments</b>
Does the Proposal define how success will be measured?		
Does the Proposal reflect realistic expectations in terms of activities identified, time frame for completion of activities, and budget?		
Does the proposal thoroughly identify all the activities, and only the activities, necessary to achieve the objectives of the proposed project?		
Does the Proposal describe innovative methods for solving the problem?		
Does the Proposal describe activities for monitoring the project and for documenting lessons learned and best practices?		
Are the activities costing realistically? Are the costs justified?		
Does the proposal reflect accurate calculations?		
Does the proposal describe matching funds – in kind or cash?		
Does the Proposal contain miscellaneous amounts		
Does the Theory of Change expressed in the Log Frame reflect the relationship in the intervention logic?		
Does the Log Frame identify how success will be measured (OVIs)?		
Does the Project describe aspects of project oversight and management?		
Does the proposal provide information on how the project will continue beyond the grant cycle, if applicable?		
TOTAL SCORES /115		
<b>Additional Notes:</b>		

## ANNEXURE G: CODE OF CONDUCT FOR INDEPENDENT EXPERTS



### Code of Conduct for Independent Experts Appointed as Evaluators

1. The task of an evaluator is to participate in a confidential, fair, and equitable evaluation of each proposal according to the procedures described in this guide and any program-specific evaluation document. An evaluator must use their best efforts to achieve this, follow any instructions given by the Fund to this end, and deliver a constant and high quality of work.
2. The evaluator works as an independent person. He/she is deemed to work in a personal capacity and, in performing the work, does not represent any organization.
3. The independent expert must sign a declaration of conflict of interest and confidentiality before starting the work, by which he/she accepts the present Code of Conduct. Invited independent experts who do not sign the declaration will not be allowed to work as an evaluator.
4. In doing so, the independent expert commits him/herself to strict confidentiality and impartiality concerning his/her tasks. If an evaluator has a direct or indirect link with a proposal or any other vested interest, is in some way connected with a proposal, or has any other allegiance which impairs or threatens to impair his/her impartiality concerning a proposal, he/she must declare such facts to the responsible Fund official as soon as he/she becomes aware of this. Besides, the evaluator signs a declaration at the bottom of the individual evaluation report for each proposal that he/she examines for the Fund notifying that no conflicts of interest for this particular proposal exist. The Fund ensures that, where the nature of any link is such that it could threaten the impartiality of the evaluator, he/she does not participate in the evaluation of that proposal, and, if necessary, competing proposals.
5. Evaluators may not discuss any proposal with others, including other evaluators or Fund officials not directly involved in the evaluation of the proposal, except during the formal discussion at the meetings moderated by or with the knowledge and agreement of the responsible Fund official.
6. Evaluators may not communicate with applicants, except in the case of panel hearings between evaluators and applicants organized by the Fund as part of the evaluation process. No proposal may be amended during the evaluation session. Evaluators' advice to the Fund on any proposal may not be communicated by them to the applicant or any other person.
7. Evaluators are not allowed to disclose the names of other evaluators participating in the evaluation. The Fund makes public lists of names of appointed evaluators at regular intervals without indicating which proposals they have evaluated.
8. Where it has been decided that proposals are to be posted or made available electronically to evaluators, who then work from their own or other suitable premises, the evaluator will be held personally responsible for maintaining the confidentiality of any documents or electronic files sent and returning, erasing or destroying all confidential documents or files upon completing the evaluation as instructed. In such instances, evaluators may seek further information to allow them to complete their examination of the proposals, provided that the obtaining of such information respects the overall rules for confidentiality and impartiality. Evaluators may not show the contents of proposals or information on applicants to third parties without the express written approval of the Fund. It is strictly forbidden for evaluators to make contact with applicants.
9. Where the evaluation takes place in an office or building controlled by the Fund, evaluators are not allowed to take outside the evaluation building any parts of proposals, copies, or notes, either on paper or in electronic form, relating to the evaluation of proposals. Evaluators may be given the possibility of seeking further information to allow them to complete their examination of the proposals, but they may not contact third parties without the express consent of the Fund staff supervising the evaluation.
10. Evaluators are required at all times to comply strictly with any rules defined by the Fund for ensuring the confidentiality of the evaluation process and its outcomes. Failure to comply with these rules may result in exclusion from the immediate and future evaluation processes, without prejudice to penalties that may derive from other applicable regulations.

## ANNEXURE H: CONFLICT OF INTEREST AND CONFIDENTIALITY DECLARATION



### Conflict of Interest and Confidentiality Declaration

(Please tick whichever is applicable)

I, the undersigned, confirm that I have read, understood, and accepted the code of conduct for independent experts established by the Fund related to the performance of the evaluation tasks.

I declare that I have not submitted, nor am I, to my knowledge, directly or indirectly involved in any proposal submitted for evaluation under the .....Call for Proposals.

I declare that my participation in the evaluation of the following proposal(s) could create a conflict of interest:

Acronym	Title Area
.....	.....

In particular, I undertake to inform the Fund staff immediately if I discover any conflict of interest, direct or indirect, with any proposal that I am asked to evaluate or which is the subject of discussion in any evaluation meeting at which I am present.

I also declare that I will not reveal any detail of the evaluation process and its outcomes or any proposal submitted for evaluation without the express written approval of the Fund. In case of the evaluation carried out outside Fund controlled premises, I understand that I will be held personally responsible for maintaining the confidentiality of any documents or electronic files sent and for returning, erasing, or destroying all confidential documents or files upon completing the evaluation, unless otherwise instructed.

Signed .....

Name .....

Date .....

## ANNEXURE I: PROCEDURES FOR REMOTE EVALUATION



### Procedures for remote evaluation

The Fund may opt to have proposals appraised remotely. For this, independent experts are invited to carry out the appraisal fully or partially at their home or place of work. In general, remote assessment of proposals is used for the individual reading and evaluation of proposals by individual independent experts.

When a remote evaluation is used, the Fund forwards copies of the proposals to be examined to each expert. As with appraisals carried out on Fund-controlled premises, the Fund is responsible for the briefing of independent experts before each appraisal session. Detailed guidelines for appraisers are made available to this end and are sent to the experts in advance of the appraisal. The briefing of the assessors covers the appraisal processes and procedures as well as the evaluation criteria to be applied and the objectives of the research area under consideration. When evaluating remotely, the Fund will maintain close contact with the individual experts to assist them on any query.

Each expert is given a fixed period in which to examine their proposals and to return their completed evaluation sheets. These are sent to the Fund by post or email with appropriate electronic codes.

Arriving at a consensus between the independent experts who have examined a particular proposal may be carried out remotely. In this case, the Fund may appoint a rapporteur for the proposal, who drafts a consensus report based on the individual reports. This consensus report is then sent to the individual experts for their approval. As before, appropriate electronic codes may substitute for the signatures of the experts and the rapporteur.

The fact of using remote appraisal for any step of the overall assessment process does not change in any way the provisions on confidentiality or conflict of interest set out in the code of conduct for independent experts annexed herein. In particular, paragraph 8 sets out specific rules for remote evaluation. Independent experts working remotely are also required to fill in and sign the declaration Conflict of Interest before beginning work.

## ANNEXURE J: RESOURCE MOBILIZATION GAP ANALYSIS AND RESOURCE PLAN



### Resource Mobilization Gap Analysis and Resource Plan

Resource mobilization gap analysis				
Program/Activity	Resources			
	Form of Resources	Total Required	Total Available	Current Gap
1.				
2.				
3.				
x <sup>n</sup>				

Total Current Resources Gap .....

Resource Plan and Activity Planning									
Program/Project		Resources			Resource Mobilization		Timeline (yearly targets)		
							1	2	3
Key Program	Program activities	Required Form of Resource	Total Required Resources	Current Resource Gap	Target resource provider/donor	Sum resource target			
1.									
2.									
3.									
x <sup>n</sup>									

## ANNEXURE K: SCALABILITY ASSESSMENT TOOL

Model Categories		Scaling up characteristics	Yes	No
A. Model's credibility	1	Based on sound evidence		
	2	Independent external evaluation		
	3	There is evidence that the model works in diverse social contexts		
	4	The model is supported by eminent individuals & institutions		
B. Observable model's results.	5	The impact is very visible to casual observation tangible		
	6	Associated with the intervention		
	7	Evidence & documentation exists with clear emotional appeal		
C. Model relevance	8	Addresses an objectively significant, persistent problem		
	9	Addresses an issue which is currently high on the policy agenda		
	10	Addresses a need which is sharply felt by potential beneficiaries		
D. Model's relative advantage over existing practices.	11	Current solutions for this issue are considered inadequate		
	12	Superior effectiveness to other innovative models established		
	13	Superior effectiveness to other innovative models established		
E. How easy the Model is to transfer and adopt.	14	Implementable within existing systems, infrastructure		
	15	Contains a few components easily added onto existing systems		
	16	A small departure from current practices and behaviors of the target population		
	17	A small departure from current practices and cultures of adopting organization(s)		
	18	Few decision-makers are involved in agreeing to the adoption of the model		
	19	Demonstrated effectiveness in diverse organization settings		
	20	The model is not particularly value or process-intensive		
	21	The low technical sophistication of the components and activities of the model		
	22	A key innovation is clear and easily replicated Technology.		
	23	Low complexity; simple with few components and easily added on to existing systems		
	24	Includes little supervision and monitoring		
F. Concept testability	25	Able to be tested by users on a limited scale		
G. Sustainable source of funding.	26	Superior cost-effectiveness to existing or other solutions established		
	27	Requires a large commitment of funds at scale		
	28	The model itself has its internal funding (e.g., user fees) or endowment		
Total score		*/28		
N/B Models that score high are easy to scale				

## ANNEXURE L: SAMPLE RESEARCH FUNDING CONTRACT



### SAMPLE RESEARCH FUNDING CONTRACT

#### Water Sector Trust Fund

(Hereinafter referred to as the **WATERFUND**)

and

(Hereinafter referred to as the **Grantee**)

In respect of Research funding for Approved Projects.

The Funding granted to the Grantee herein is granted on certain terms and conditions as set out in this agreement, which the Grantee must read, accept, initial on each page, sign in full, and date in the attestation clause before the Funding will be provided.

## SECTION A

### SUMMARY OF THE FUNDING PROVIDED IN THIS AGREEMENT

<b>Amount of funding:</b>	KES _____ (amount in words inclusive VAT), being the total funds granted, which will be referred to in this agreement as the " <b>Funding</b> ". The budget on which the Funding is based must be included in the Project description.
<b>Name of Project for which funding is being provided:</b>	Funding to (INSERT DETAILS), as specified in Annexure B, which will be referred to in this agreement as to the " <b>Approved Project</b> ".
<b>Projects must be completed by:</b>	_____, this will be referred to in this agreement as the "Completion Date".

## 1. PERIOD OF AGREEMENT

This agreement will take effect from the day that the last party signs the agreement until the Completion Date ("**Funding Period**") unless otherwise terminated as provided for herein.

## 2. WATERFUND OBLIGATION TO PAY FUNDING

- 2.1 The WaterFund will pay the Grantee up to KES \_\_\_\_\_ (inclusive of VAT), which will herein be defined as the "Funding", subject to the retention amount in clause 2.2 hereunder.
- 2.2 The Funding is calculated based on the Project budget as included in the Approved Project description. An amount equal to 40% (fifteen percent) of the final year of the Funding will be retained by the WaterFund from the payment of the Funding for 30 days after the Completion Date to enable the WaterFund to remedy any possible breach in the Approved Project or the late delivery thereof. Should there be no breach or late delivery; the retention amount will be paid to the Grantee after the expiry of the 30 days retention period.
- 2.3 The Funding, excluding the retention amount, will be paid into the nominated banking account of the Grantee as detailed in Section B of this agreement no later than 30 days after receipt of the invoice as required in clause 2.3 hereunder.
- 2.4 The Grantee will provide a tax invoice to the WaterFund that complies with the Value Added Tax Act, indicating the amount of VAT that is included and the rate thereof.

### 3. GRANTEE OBLIGATIONS

#### Bank Details

3.1 A grantee must provide the WaterFund with the details of the Grantee bank account requested in Section B so that the Funding can be paid into the Grantee bank account.

#### Approved Project and Use of Funding

The grantee must annex:

- a) Use the Funding for the Approved Project only and in terms of the budget included in Section C; and
  - b) Ensure that the Approved Project is completed by \_\_\_\_\_, which will be called the "Completion Date"; and
  - c) Notify the WaterFund in writing if the Approved Project cannot be completed by the Completion Date and indicate in the same notice the expected date of completion.
- 3.2 If the Grantee notifies the WaterFund that the Approved Project cannot be completed by the Completion Date, the WaterFund may discuss an alternative completion date with the Grantee.
- 3.3 If the Grantee decides to suspend or cease the Approved Project or any activities with the Approved Project, the Grantee must immediately notify the WaterFund.
- 3.4 If the WaterFund believes that the Grantee has not used the Funding for the Approved Project, the WaterFund may request a repayment of all or part of the Funding. If the WaterFund requests that the Grantee repay the Funding, the Grantee must do so within thirty (30) days.
- 3.5 Where the Grantee has completed the Approved Project but has not spent the entire Funding, the WaterFund may request a repayment of the unspent amount of the Funding. If the WaterFund requests that the Grantee repay the unspent amount of the Funding, the Grantee must do so within thirty (30) days.
- 3.6 Where the Grantee has not spent all of the Funding, the Grantee may ask the WaterFund if the Grantee may keep the unspent money for a particular purpose. The Grantee must make this request in writing to the WaterFund.
- 3.7 Any request to vary the Approved Project must be submitted immediately and in writing to the WaterFund. The letter must provide reasons for the change and a quotation for the proposed variation. Funding can only be utilized for a new purpose after the WaterFund provides written approval.
- 3.8 The Grantee indemnifies (and keeps indemnified) the WaterFund, its officers, employees, and agents against any:
- a) loss, damage, or other liability incurred by the Grantee;
  - b) loss or expense incurred by the Grantee in dealing with any claim against it, (including legal costs);

That is caused by or arises from:

- a) an act or omission by the Grantee, or any of the Grantee employees, agents, volunteers, or subcontractors in connection with this agreement, where there was a fault on the part of the person whose conduct gave rise to that liability, loss, damage, or expense; and/or
- b) Failure by the Grantee to comply with all of the Grantees' obligations under this agreement.

#### Acknowledgment of Funding

3.9 The Grantee must acknowledge the WaterFund's contribution to the Approved Project in all promotional and advertising material in the format as required by the WaterFund and its funding agency as attached to this Agreement in Annexure D.

#### Guarantees by Grantee

The Grantee guarantees that:

- 3.10 All the required institutional and legislative ethical clearances were obtained and will be adhered to and be valid for the duration of the Project; and,
- 3.11 None of the materials created for the WaterFund resulting from the Funding infringes on any copyright or any other intellectual property rights of third parties.

## 4. MUTUAL AGREEMENTS

### Material created using the Funding

- 4.1 All material that is developed as a result of the Approved Research Project including reports, brochures, photographs, and other types of material will remain the property of the Grantee unless otherwise agreed.
- 4.2 The Grantee grants the WaterFund a non-exclusive, perpetual, worldwide license to distribute and use the material for academic and research purposes under the WaterFund Research platform.

### Failure to comply with this agreement

- 4.3 If the Grantee:
  - a) Fails to carry out the Approved Research Project under this agreement;
  - b) Does not apply the Funding for the Approved Research Project; and/or
  - c) Fails to comply with any other requirement of this agreement, the Grantee will be in breach of this agreement.
- 4.4 If it is found that the Grantee is in breach of this agreement, the WaterFund may give the Grantee notice in writing asking the Grantee to rectify the breach and specifying a period in which the breach must be rectified.
- 4.5 If the breach is not rectified within the time specified by the WaterFund in the notice sent to the Grantee the WaterFund may terminate this agreement immediately by written notice to the Grantee.
- 4.6 If this agreement is terminated, the Grantee agrees to repay to the WaterFund any of the Funding not spent or put towards the Approved Research Project.

This agreement will be subject to the special conditions set out in Section C if any.

## 5. GENERAL

- 5.1 The Grantee may not transfer any of its rights or requirements under this agreement unless the Grantee has received written approval to do so from the WaterFund.
- 5.2 This agreement between the Grantee and the WaterFund constitutes the entire agreement and overrules any previous agreement or understandings between Grantee and the WaterFund regarding the subject matter of this agreement.
- 5.3 This agreement cannot be amended or added to unless the amendment or addition is in writing and signed by both Grantee and the WaterFund.
- 5.4 Grantee and the WaterFund can communicate with each other about this agreement by telephone, fax, letter, or email.
- 5.5 If the WaterFund has to give the Grantee notice that the Grantee is in breach of this agreement, notice shall be given by sending an official letter to the email address nominated by the Grantee.
- 5.6 The provision of funds, which is the subject matter of this agreement, is subject to the Grantee having maintained and met all obligations of the Approved Research Project.
- 5.7 While both parties acknowledge the confidentiality of the Funding arrangements, the Grantee is hereby made aware that the provision of this financial support to the Grantee will become a matter of public record through the publication of the WaterFund's Annual Report.

SIGNED AT..... ON THIS..... DAY OF.....20.....

WITNESSES:

1.....

2.....

ON BEHALF OF WATERFUND

SIGNED AT..... ON THIS.....DAY OF.....20.....

WITNESSES:

1.....

2.....

ON BEHALF OF GRANTEE

## SECTION B

### INFORMATION FOR PAYMENT

These details allow the WaterFund to process the payment to Grantee. If the Funding Grantee is not a legal persona, then a corporate/institutional/statutory body must undertake to auspice the Funding, sign this agreement, accept, and be bound by the agreement conditions.

Grantee Name: .....

Postal address: .....

.....

Bank: .....

Branch: .....

A/c Name: .....

Branch Code: .....

Account Number: .....

Is the Grantee registered for VAT? Yes [ ] No [ ]

## SECTION C

### Approved Project description

.....  
.....  
.....  
.....

## SECTION D

Prescribed format of acknowledgment of Funding in respect of the Project:

### i. BACKGROUND

As part of the WaterFund Research requirements, formal reference must be made when projects were made possible through funding provided by the Fund or through the use of resources published on the resource portal.

### ii. MINIMUM REQUIREMENT AS PART OF GENERAL RESEARCH AND INNOVATION OUTPUT

- Use of resources published in the resource portal

In the case of journal articles or traditional forms of publication please use the appropriate referencing style required by the journal.

### Publications made possible through WaterFund involvement.

In the case where resources from the resource portal are not used but the project is funded by WaterFund or when WaterFund expertise or funding is used as part of the research project, the following text must be included in the Acknowledgement section of the publication.

### 3. USE OF SOCIAL MEDIA FOR DISSEMINATION

The use of social media is encouraged as it provides a tangible metric to track access to information relating to the research project. Kindly add WaterFund's Twitter account/Facebook account detail when publishing material/events on social media.

## ANNEXURE M: PROGRESS REPORTING FORM



### PROGRESS REPORTING FORM

#### 1. PROJECT INFORMATION

NAME OF PROJECT			
PROJECT IDENTIFICATION No.			
NAME OF GRANTEE			
GRANT AND DISBURSEMENT RECORD	AMOUNT APPROVED IN KES:	DATE APPROVED:	
	AMOUNTS DISBURSED	DATE OF DISBURSEMENTS	
	1		
	2		
	3		
REPORTING RECORD	TYPE OF REPORT (PROGRESS, FINANCIAL, END OF PROJECT)	REPORTING PERIOD	DATE RECEIVED

#### 2. FINANCIAL STATUS

	REPORTING PERIOD	APPROVED BUDGET	AMOUNT SPENT	VARIANCE
WATERFUND				
GRANTEE				
OTHER DONORS/PARTNERS				
TOTAL PROJECT COST				

#### APPROVED WATERFUND BUDGET

LINE ITEMS	AMOUNT APPROVED	AMOUNT DISBURSED	AMOUNT SPENT	VARIANCE

REASON FOR VARIANCE (BE VERY CONCISE)

- A) WATERFUND'S BUDGET
- B) GRANTEE AND OTHER FINANCIAL INPUT

#### 3. IMPLEMENTATION STATUS:

STARTING DATE OF PROJECT		DATE OF COMPLETION	
APPROVED	ACTUAL	APPROVED	ACTUAL
REASON FOR VARIANCE			

4. ACHIEVEMENT OF OUTCOMES

PROJECT OUTCOMES	LEVEL OF ACHIEVEMENT
	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/>
	1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/>

1-unsatisfactory 2-needs improvement 3-satisfactory 4-very good 5-excellent

5. REASONS FOR LEVEL OF ACHIEVEMENT FOR EACH OUTCOME:

6. GENERAL RECOMMENDATIONS/COMMENTS:

REVIEW COMPLETED BY	DATE

## ANNEXURE N: END OF PROJECT REPORT FORMAT



[PROJECT NAME]

### End Project report

<dd/mm/yyyy>

<b>Research Project Name</b>	
<b>Research Project Sponsor</b>	
<b>Project Lead Researcher</b>	
<b>Start Date</b>	<b>Completion Date</b>

### Part 1: Project Closure

1. Purpose of the project  
Explain what the project delivered, why it was needed, and what the long-term benefits have been or will be.
2. Objectives achieved/not achieved  
Reference the objectives in the project proposal and describe what has been achieved, and what has and has not been achieved with reasons. If there were any changes to the project objectives since the project proposal was approved they should be documented here. If any gains were realized during the life of the research project they should also be documented here and measured if possible.
3. Milestone Acceptances.  
Describe the milestones that were completed and have been confirmed at the end of the project.
4. Changes incorporated  
Using the changelog, document the changes that were approved after the proposal approval. For each changed document the benefit, cost, time, and quality implications of that change.
5. Outstanding Risks and Issues  
If any risks are relevant to post-project close they need to be documented for consideration in case of scale-up management. The same goes for any outstanding issues and any outstanding requests for changes that were not able to be implemented during the research project lifecycle.
6. Post project review  
Document the plan of action for the Post Project review with suggested timings, attendees, and ownership. Check the benefits realization plan to help determine the agenda and the timing of the review.

### Part 2: Review of the effectiveness of research project administration

1. Administration  
Answer the following questions. How well was the project organized? Were roles and responsibilities clear? Did the research project team have the right mix of skill sets and authority to meet their project responsibilities? Was the research proposal used for decision-making throughout the lifecycle of the project? Were the stakeholders engaged and managed effectively? Was the communication management strategy effective?
2. Planning and control  
How good were the plans and estimates for resources? How good were estimates of effort, time, and cost? Were the monitoring and control mechanisms timely and effective? Was control at the right level?
3. Stakeholder management  
Were stakeholder identification, management, and engagement successful and effective? Did the stakeholders engage as expected?
4. Supplier management

Were the selection procedures appropriate and effective? Our supplier management processes and procedures effective? Were there any issues with supplier performance?

5. Quality management

Did the deliverables meet the quality criteria? Did the team have the right skill mix to deliver quality deliverables? Were any errors or problems detected early enough to fix at the lowest possible cost?

6. Risk and Issue management

How effective were the risk management processes and procedures? Did any issues occur that could have been predicted? In this section, it is worth considering what evidence there is that risk management prevented or reduced the impact of damaging events?

### Part 3: Sharing lessons learned

1. Study findings

Share the major findings of this study and their application in real life.

2. Recommended Good Practices

Show examples of good practice from this research project that can be shared with other future projects.

3. Lessons Learned

Document any examples of things that could have been done better, and document what will be done differently next time.





**Ministry of Water,  
Sanitation and Irrigation**



**WaterFund**

Financing the Water Sector

**Water sector Trust Fund**

GETTING IN TOUCH WITH WATER FUND  
IN PERSON

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P.O Box 49699-00100, Nairobi, Kenya

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Tel: +254 (20) 272 0696  
info@waterfund.go.ke

FINDING ABOUT WATER FUND ONLINE

Facebook: <https://fb.com/kewstf>  
Twitter: [https://twitter.com/wstf\\_ke](https://twitter.com/wstf_ke)

WATERFUND PUBLICATIONS

Publications website: <https://waterfund.go.ke/publications>