RoK Facility Phase 2:

Programme Guidelines

The purpose of this document is to provide guidelines to Republic of Korea (RoK) institutions and their partners for them to submit grant proposals to implement components of the Facility/Programme for Capacity Development for Poverty Reduction through South-South and Triangular cooperation in Science and Technology - Phase2. The three components are the science, technology and innovation platform, Scaling up best practices, and Consortium Piloting. The programme document is the guide to implement the Facility. This document provides additional guidance in light of questions asked by partners.

This guide includes:

1. A table of responsibilities
2. The outline of the grant proposal
3. The proposal selection criteria
4. **Table of responsibilities**

|  |  |
| --- | --- |
| **Selected activity** | **Responsibility** |
|  | **Steering Committee** | **UNOSSC** | **MSIP, ROK** | **National Counterpart** | **UN Agency** | **Korean Institution** | **STEPI** |
|  | **Project identification** |
| Initiate submission of grant proposals | Agree to proposal format, and criteria for selection | Prepare proposal format and criteria for selection  | Review the criteria and comments on improving criteria |  | UNOSSC to share guidelines with interested UN Agencies | Review proposals and provide comments before finalization | Announce arrangements for submission of proposals in Korea |
| Preparation of grant proposals |  | Provide clarifications to potential partners |  | Provide inputs and indicate ownership by  | Help prepare and Cosign on proposal | Compile proposal according to guidelines |  |
| Identification of partnerships | Identifies countries and communities to work in under Facility  |  | Suggestions of Potential Partner Countries |  |  | Identify implementation partners and work out institutional arrangements for collaboration  | Identification of further partner UN agencies and partner countries |
| Submission of grant proposal |  | Receives proposals on behalf of Steering committee |  | Co-signs proposal | Co-signs proposal | Submits proposal to Steering Committee through UNOSSC |  |
| Selection of grant proposal | Steering Committee members receive selection recommendations | Short lists number of proposals based on Criteria set by Steering Committee | Review the short lists of proposals and suggestions |  |  |  | STEPI staff and Manager rate submissions. |
| Institutional Capacity Assessment of shortlisted proposals |  | Capacity assessed as per template | Review Korean Institution’s capacities and suggestions |  |  | Responds to vetting template | Collecting information about Korean Institutions’ capacities |
| Grant proposal finalized | UNOSSC Director or delegated person signs proposal last. | Project manager ensures selected proposals are strengthened before submission to Steering Committee. |  | Co-signs finalised proposal | Co-signs finalised proposal | Signs final proposal |  |
|  | **Proposal Implementation** |
| Grant document signed | Has to give permission of grant advances to a third Party by RoK Institution  | Prepared by and signed by UNOSSC and Korean Institution |  |  |  | Signs grant agreement |  |
| Revise work Plan |  | Receive revised work plan | Review the revised work plan and suggestions |  |  | Submit revised work plan | Provide background information about work plan improvement |
| Proposal Implementation | Ensures presence of most partners to get common understanding | Participate in kickoff meeting unless there is a UN Agency | Participate in kick off meeting | Risk Management | Participate in Kickoff meeting | Prepare kickoff meeting | Participate in kickoff meeting |
| **Monitoring and reporting and evaluation** |
| Monitoring |  |  |  |  |  |  |  |
| Reporting | Receive semi-annual and annual reports (July and January) | Receive and Compile reports and submit to Steering Committee (June and December) All disbursements based on satisfactory reporting. | Receive report as part of the Steering Committee | Verts the report before submission to Steering Committee | Verts report before submission to Steering Committee | Prepares the progress reports (Submit progress reports by mid-June and Mid-December) | Receive report as part of the Steering Committee |
| Change of work Plans | Significant changes, change of output will be referred to Steering Committee | All deviations from agreed work plan should be referred to UNOSSC. | Review the significant changes and make suggestions | Must agree on changes |  | Revises work plan in line with local realities. | Receive reports if significant changes. |
| Grant period extension | Must be cleared by Steering Committee | must receive request and submit to Steering Committee | Review the extension and make suggestions |  |  | Reflect views of other partners in submission of request for extension | Review the rationaleof extension |
| Schedule evaluation | Should discuss evaluation preferably a year before end of Programme | Ensure evaluation takes place | Review the evaluation criteria and make suggestions for evaluation format and contents |  |  |  | Provide information about evaluation criteria and evaluation format |
| **Closing project** |
| Produce final report within 3 months of operational ending of project | Will receive final report | Will release final disbursement after final report is received. |  |  |  |  |  |
| Prepare final revision of Facility and close |  | X |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |  |

1. **Outline of Grant proposal**

**Proposal Title:**

**Countries to be covered or region:**

**Implementing partners:** RoK Institution, other RoK Institutions, UN collaborators and counterpart Institutions.

**Parent Programme:** 00097662: Facility/Programme for Capacity Development for Poverty Reduction through South-South and Triangular cooperation in Science and Technology Phase 2.

**Brief Description:** Indicate what the objectives of the proposal are.

**Part 2: No more than 7 Pages to include:**

1. **Project justification:** What are the issues that need to be addressed, is there a baseline scenario? What are the expected outcomes? How will innovation and technology be applied to achieve outcomes?
2. Is the proposal consistent with national priorities, within national plans and strategies? With 2013 Agenda localization processes? Mention the plans and strategies.
3. Describe how grant will contribute to stated outcomes of Korean Facility Phase 2.
4. Describe who will be the stakeholders in the project, what are the institutional arrangements and coordination with other Korean Facility Projects?
5. How will gender and equity issues be addressed?
6. What will be the knowledge management approach of the project?
7. Assess risks under the project

**Annex to proposal**

Include Annex of the Korean Facility Phase 2 Results Framework.

Annual work Plan (for each of the three years)

**Proposal Selection Criteria**

These selection criteria will be used by the Steering Committee, with amendments, if required, to select proposals for implementation in Phase2. The Institutions submitting proposals will clearly indicate which component of Phase 2 they are applying for, platform, consortium piloting or scaling up.

|  |  |  |
| --- | --- | --- |
| Criteria | Description | Points |
| 1 | Institution has clarity on expertise and methodology it offers to build capacity  | 10 |
| 2 | Proposal consistent with National priorities | 15 |
| 3 | Proposal objectives and outcomes to be achieved are clear | 15 |
| 4 | Proposals takes into account working with other Korean Institutions | 10 |
| 5 | Proposal shows working arrangement with one or more UN Agencies  | 10 |
| 6 | Proposal shows understanding of South-South and triangular cooperation | 10 |
| 7 | The proposal is demand driven, with evidence of leadership and support by counterpart institutions | 10 |
| 8 | Clearly designated staff to manage project | 5 |
| 9 | 30% matching fund part of proposal | 10 |
| 10 | Proposal is relevant to at least one component of Phase 2 | 5 |
| Maximum Score | 100 |

The initial vetting/short listing will be undertaken by project Manager or any person appointed from STEP/Ministry. Projects will be grouped according to the component they applied for, that is, consortium pilot, Scaling up project and Science, technology and innovation platform. Any proposal not clearing the threshold of 75 points will not be further considered. The rating will be submitted to the Steering Committee with summary of project and scores. Projects selected will be presented in the order of highest to lowest score and Steering Committee will make final decision.