

## **Section C.**

### ***COMPONENT C:* DEVELOPMENT AND INNOVATION IN TERTIARY EDUCATION**

**TEACHING AND LEARNING INNOVATION FUND (TALIF)**

# **OPERATIONS MANUAL**

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## TEACHING AND LEARNING INNOVATION FUND

# Operations Manual

## 1. PRESENTATION

The Teaching and Learning Innovation Fund (TALIF) for tertiary education institutions in Ghana operates under the Education Sector Project of the Ministry of Education. It is a development tool designed to enhance the ability of the country's tertiary institutions to fulfil their primary responsibilities and to tie them more closely to processes of national development. TALIF will support innovations that seek to improve education in the polytechnics and the University for Development Studies, and at postgraduate levels in the other universities, including distance education and professional continuing education. TALIF will finance specific innovative projects based on approved funding proposals and clearly defined measurable results.

TALIF is part of the Government of Ghana's tertiary education improvement efforts as outlined in the Ministry of Education's *Education Strategic Plan (ESP): (2003 – 2015)*.

TALIF will be managed on the basis of well-publicized calls for proposals open to all eligible tertiary institutions. Approved proposals will result in Performance Agreements between the National Council for Tertiary Education and the awardee institutions. TALIF will include systems for proposal selection, contracting awards, and performance monitoring and project evaluation. In addition, it will support outreach activities and technical assistance to eligible university groups in their preparation, management, and monitoring of projects.

TALIF is financed with counterpart funds from the national budget and from a credit from the International Development Association (IDA) of the World Bank Group. The level of counterpart contribution will be 10 % of the total budget for each project. In some projects, additional revenues from resources other than the Ministry of Education are anticipated.

## 2. OBJECTIVES OF THE INNOVATION FUND

### 2.1. General Objectives

TALIF is designed as a medium-term instrument of tertiary education policy that seeks to address four general objectives: (1) raising the quality of tertiary level teaching and learning activities; (2) sharpening the relevance and skills content of polytechnic education; (3) improving the efficiency by which polytechnics, universities and system supervisory institutions manage their academic programmes; and (4) through the combined effect of these, opening up greater access to tertiary level academic programs in order to meet the increases in demand brought about by population growth and globalization. TALIF seeks to meet these objectives by supporting the introduction of a wide range of innovative projects; the dissemination of information concerning TALIF activities and progress of projects; and, where possible and appropriate, assisting in the replication of successful projects beyond their initial scope. (See *Annex C.1* for a discussion of innovation in the context of higher education, and the general definition of innovation as used in the context of this TALIF.)

TALIF will support innovative efforts that affirm the strategic initiatives of tertiary institutions that are within the context of the national tertiary education policy, and that help tertiary institutions to play their role in meeting the needs of the Ghanaian society. Thus, TALIF is

part of a broader national strategy to modernize tertiary education in such a way as to permit a qualitative leap into the 21st century.

## **2.2. Specific Objectives**

TALIF has several specific objectives that will be pursued through the various funding mechanisms within the framework of its general objectives. These include

### **2.2.1 Improving the quality of teaching and learning:**

- Improving the knowledge and skills development in the content of curricula of polytechnic and postgraduate programs through the revision of curricula at the program and course levels to reflect changes in disciplinary knowledge, technology advances, and the evolving requirements of the labour market.
- Improving the research component of post-graduate programmes for knowledge creation.
- Enhancing the awareness and competence of academic and technical staff in the light of (1) rapidly changing understanding of how effective and efficient teaching and learning takes place; (2) institutional priorities; and (3) evolving national development and human resource needs.
- Enhancing the physical learning environment (e.g., improved laboratory facilities; up-to-date books and journals, and better access to course and career relevant information through more appropriate technology than is currently available).

### **2.2.2 Sharpening the relevance and skills content of polytechnic education:**

- Increasing the awareness of teaching staff of the changing skills expectations that employers have of polytechnic graduates and of the technologies and methods they utilize in the work place.
- Improving opportunities for students to acquire a range of skills expected of a polytechnic graduate in modern society: (1) technical expertise and applied problem solving abilities; (2) general skills (communication, including computer literacy; problem solving; workplace relations such as teamwork); and (3) citizenship skills and values.
- Developing closer links with their environment, particularly with employers, professional associations, business firms, and productive enterprises.
- Integrating the use of information and communication technology into the design and implementation of teaching and learning activities.

### **2.2.3 Improving the efficiency with which tertiary institutions manage academic programmes**

- Improving the utilization of facilities and other resources; increasing learning performance while reducing drop-out and repetition.
- Enhancing the capacity of educational and supervisory bodies to manage their human and financial resources more efficiently and cost effectively.

#### **2.2.4 Expanding access to strategically important post-graduate programs**

- Increasing the capacity of institutions to respond to the pressures and opportunities of greater access, while ensuring academic quality in selected post-graduate programs of strategic development importance to the nation. An illustrative list of these strategic program areas, drawn from the *Ghana Poverty Reduction Strategy*, is provided in *Annex C.2*.
- Integrating into these post-graduate programmes elements that specifically address the need to employ more women in academic positions.

#### **2.2.5. Tackling the problem of HIV/AIDS.**

- Increasing AIDS awareness among all campus communities with the aim of stabilizing and then reducing HIV incidence.
- Integrating HIV/AIDS issues, where appropriate, into curricula.
- Helping those affected to cope with HIV/AIDS.
- The HIV/AIDS programme will be in collaboration with the HIV/AIDS Secretariat of the Ministry of Education, Youth and Sports.

#### **2.2.6. Broadening Access, especially in disadvantaged regions.**

Distance education programmes can improve access from remote and poorer regions (a) directly and (b) indirectly by helping to improve and upgrade teacher supply. The fund will seek to enhance the ability of tertiary institutions to offer access courses.

### **3. THE TALIF: FUNCTIONS AND STRUCTURES**

TALIF is a primary mechanism of the Education Sector Project for assisting tertiary institutions to improve their teaching and learning performance. TALIF operates in partnership with National Council for Tertiary Education and participating tertiary education institutions through various structures whose functions are described in the following sections. The organogram shown in *Annex C.3* illustrates the management structure, together with the respective proposal review and approved structure, involved in these main sets of activities of TALIF, their relationship to each other and a brief indication of their primary functions.

#### **3.1 TALIF: Management Functions and Structures**

The two key mechanisms related to the management of TALIF are the TALIF Unit (TU) within the National Council for Tertiary Education and the Campus-Based Proposal Review Committee (PRC).

##### **3.1.1 TALIF Unit/NCTE:**

The TALIF Unit will operate as a unit within the NCTE. It is recommended that the Coordinator of the TALIF Unit at the NCTE should possess sufficient seniority as well as the professional competence to interact easily with senior tertiary institution officials, including Vice-Chancellors, Principals, and their deputies.

### **3.1.2 Functions**

The primary function of TALIF Unit is to coordinate all activities related to the TALIF. In carrying out this function, the TU will act as both implementer and coordinator of the various tasks. The basic functions to be discharged by the TU under the supervision of the Executive Secretary of the NCTE include:

- To carry out and coordinate the various activities of TALIF; and disseminate information about the TALIF.
- To provide necessary support to campus-based TALIF Coordinators, TALIF Proposal Review Committees (PRC), TALIF Academic Review Panels (ARP), and any other structures created for the purpose of furthering the objectives of TALIF.
- To monitor the proper use of TALIF resources in project execution and collaborate with PRC these activities.
- To assist the PRC in identifying institutions' technical assistance needs with the view to improving proposal preparation as well as through training workshops and technical support;
- To carry out any other activities necessary to ensure the achievement of the goals and objectives of TALIF.

### **3.1.3 Structure**

The NCTE will recruit additional professional staff to assist in TALIF Co-ordination. Such staff will be required to have substantial experience in tertiary settings and clear evidence of being innovative. They will need to have strong communication skills and demonstrate a capacity to manage change in the academic environment. Their individual qualifications and functions are detailed in *Annex C.5*.

### **3.2 TALIF Proposal Review and Approval: Functions and Structures**

TALIF will provide financial support in response to proposals from academic groups or organizational units seeking to improve the quality of teaching and learning in their academic programmes. Proposals may be made by academic units (e.g., faculties, departments, libraries, institutes, centres) and other entities in collaboration with academic programs (such as professional associations, other national tertiary institutions (public and private), business partners, non-governmental organizations, etc.). Joint proposals by academic programmes from more than one institution are encouraged. Calls for proposals will be made on a regularly scheduled basis by TALIF. Proposals may also be made by the National Supervisory Bodies (NCTE, NAB and NABPTEX), either separately or collaboratively. All such proposals are subject to special procedures for independent assessment and review, the details of which are outlined in this Manual.

Depending on the size and nature of the proposals, they will be assessed through peer review processes either at the level of the institution where they are submitted or at a national level through Academic Review Panels organized by NCTE. Successful proposals will form the basis for a Performance Agreement between the National Council for Tertiary Education and the entity responsible for carrying out the proposed activities.

The mechanisms responsible for proposal review and approval are Proposal Review Committees on each campus, and Academic, Non-Academic, and Special Review Panels at the national level. Their respective functions and structures are as follows:

### **3.2.1 Campus-based Proposal Review Committees (PRC)**

Every public tertiary institution wishing to participate in the TALIF will establish a Proposal Review Committee (PRC). The PRCs are concerned only with reviews of proposals intended for TALIF. However, the manner in which these campus-based committees carry out their responsibilities is crucial to the success of the TALIF. Members of the PRC need to understand thoroughly the goals and objectives of TALIF in reviewing proposals that come before them.

#### **3.2.1.1 Functions**

Each Proposal Review Committee will carry out the following functions:

- Review all proposals brought before it to ensure their completeness and relevance to their institution's strategic plan, rejecting those proposals deemed to lack relevance to the priorities of the strategic plan.
- Evaluate all Small Proposals (under USD 20,000) submitted to it. Based upon the merits of each proposal according to stated selection criteria, the Committee may approve those proposals deemed to have met the criteria satisfactorily.<sup>1</sup> The process for assessment will follow guidelines established and provided in this TALIF Operations Manual. Proposals deemed to have merit but not ready for approval will be returned to the proposing party with recommendations for necessary actions and may be resubmitted. Proposals deemed to be lacking in merit will be rejected by the Committee.
- Forward to the TU for further review by the appropriate Academic Review Panels all proposals above the amount of USD 20,000 that are complete and have documentation of their relevance to the strategic plan of the institution.
- Forward to the TU for appropriate action any appeal of a decision taken by the institution's Project Review Committee.
- Take all necessary steps to ensure that the objectives and procedures of TALIF are widely understood on its campus.
- Any other functions that the NCTE may deem appropriate.
- Large proposals (above \$20,000) will be assessed by Academic Review Panels as indicated in Section 3.2.

#### **3.2.1.2 Structure**

The institution's Proposal Review Committee (PRC) will be appointed by the Vice Chancellor/Principal of the institution. Its members will include the following:

- The Vice Chancellor/Principal or his/her representative.
- The Pro Vice Chancellor/ Vice Principal for Academic Affairs.

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<sup>1</sup> The authority of any Tertiary Education Institution to approve proposals for less than \$20,000 at the PRC stage shall be limited according to the scheme outline in Section 4.2 of this manual. Any qualified Small Proposals approved after the institution has reached its annual ceiling for Small Proposals will need to be submitted to the Academic Review Panels for assessment along with other proposals. The authority for an institution's PRC to approve Small Proposals may be withdrawn at any time by the Executive Secretary of the NCTE if the institution is found to be ineligible for participating in TALIF, or if the institution's Proposal Review Committee fails to discharge its functions in a satisfactory manner. When the conditions that led to the withdrawal of proposal approval authority have been satisfactorily remedied, the Executive Secretary of the NCTE may reinstate approval authority to the institution's Proposal Review Committee.

- The Director of Academic Planning.
- The Chairman of the institution's Strategic Planning Committee.
- Four members from academic units of the institution, to reflect its range of academic programmes.
- Two external members who have demonstrated a commitment to assisting the institution in improving its academic programmes.
- Campus-Based TALIF Coordinator as member secretary (Functions as detailed in *Annex C.4*).

This committee may meet as frequently as deemed necessary to review the volume of proposals by the deadlines established by the TALIF for each funding cycle. Decisions will be made by majority vote. The Committee will liaise with the TALIF Campus Coordinator (TCC) on all necessary matters. Members would be appointed for a period of three years on a rotational basis to ensure consistency and continuity within the Committee. They will enjoy complete independence in assessing the merits of proposals, and will be expected to excuse themselves from participating in decisions that might involve a conflict of interest.

### **3.2.2 TALIF Campus Co-ordinator (TCC)**

As TALIF proposals will be institution-based, a full time TALIF Campus Co-ordinator will be appointed by each respective institution to co-ordinate and facilitate all TALIF related activities on campus.

#### **3.2.2.1 Functions**

The TCC will be accountable to the Vice-Chancellor/Principal for the effective implementation of TALIF activities in the institution. The TCC will perform the following functions, which are elaborated in *Annex C.4*:

- To publicize TALIF calls for proposals, inform potential applicants of guidelines and procedures, receive completed proposals from within the institution, check them for completeness and compliance with guidelines, and forward them to the Proposal Review Committee for action.
- To promote, support and disseminate innovative activities within his/her institution.
- To liaise with the TU/NCTE with regard to project monitoring, financial administration, and management responsibilities.
- To serve as secretary to the Proposal Review Committee

In furtherance of these main functions, the TCC:

- will disseminate information on all project activities to the campus community.
- will publicize the results and achievements of project activities to the campus community.
- will support and assist campus awardees of TALIF grants and training awards to carry out their planned programs, and facilitate the implementation of project activities within the institution.
- will monitor and evaluate the progress of approved proposals under the TALIF, identify delays in implementation, and address the causes of such delays.
- will ensure that the eligibility requirements for the institution's participation in TALIF are met and maintained.

- will host and coordinate all TALIF-related visits to tertiary education institutions.
- will be accountable to the Vice-Chancellor/Principal for the effective implementation of TALIF activities in the tertiary education institution.
- will accompany Vice-Chancellor/Principal to the annual Consultative Review meetings on the project.

### **3.2.3 TALIF Campuses**

Individual faculty members, departments, schools, course centers, libraries, and administrative units can initiate proposals. However, it is expected that such proposals should relate to institutional/departmental etc. strategic plans.

Proposals are therefore expected to come from within the appropriate TALIF campuses. The TALIF campuses are:

#### **Universities**

1. University of Ghana (Main Campus)
2. College of Health Sciences, University of Ghana, Korle-Bu
3. University of Cape Coast (Main Campus)
4. Kwame Nkrumah University of Science and Technology (KNUST) – (Main Campus)
5. Western University College of KNUST –Tarkwa
6. University of Education, Winneba (Winneba Campus)
7. University for Development Studies (Nyankpala Campus)

#### **Polytechnics**

8. Accra Polytechnic
9. Bolgatanga Polytechnic
10. Cape Coast Polytechnic
11. Ho Polytechnic
12. Koforidua Polytechnic
13. Kumasi Polytechnic
14. Sunyani Polytechnic
15. Takoradi Polytechnic
16. Tamale Polytechnic
17. Wa Polytechnic

### **3.2.4 Academic Review Panels**

The NCTE will establish and convene an Academic Review Panel (ARP) for each of five broad academic areas:

1. Arts, Humanities and Social Sciences
2. Science and Mathematics
3. Health Sciences
4. Agriculture and Veterinary
5. Engineering and Technology

As in the case of the institutionally based Proposal Review Committees, the Academic Review Panels are the sole quality control mechanism for the proposals brought to their attention for assessment.

All proposals received by the TU Co-ordinator will be assigned to and reviewed by an ARP in the same funding cycle in which they are received. In order to assure prompt review, more than one ARP may be appointed in an academic area if the number of proposals received warrants such action.

For non-academic proposals reviews will be made by either (a) a Non-Academic Review Panel (NARP), or (b) a Special Independent Review Panel (SIRP)

### **3.2.4.1 Functions**

The functions of the Academic Review Panels are:

- To review proposals submitted according to specific criteria established by the Programs and Windows under TALIF. These criteria are indicated in Section 6 of this Manual. The process for assessment will follow guidelines established and provided by the NCTE (see *Annex C.9*). Proposals meeting the stated criteria may be recommended by the Academic Review Panels for approval by NCTE. Proposals deemed to have merit but not ready for approval will be returned to the proposing party with recommendations for necessary actions and may be re-submitted during the next Request for Proposals cycle. Proposals deemed to be lacking in merit will be rejected by the Panels.
- To advise NCTE on steps which may be necessary to improve the quality of proposals and the functioning of TALIF.
- To provide a written report to the Executive Secretary of NCTE of all actions taken.
- To undertake any other activities as requested by NCTE.

### **3.2.4.2 Structure**

- (a) Each ARP will have at least three, and no more than five, reviewers. Because the amounts of funding sought in the proposals reviewed are generally larger than those reviewed by campus-based PRCs, and because proposals may come from a broad range of institutions with differing conditions and strategic aspirations, the challenges in assessment faced by these Panels will require that only people having the highest combination of academic qualifications and innovation experiences should be appointed as reviewers. Reviewers must possess academic qualifications in a discipline in the academic area of the concerned review panel, as well as substantial experience in designing, administering or evaluating innovative educational and training programmes. Reviewers will be nominated, selected, and appointed according to procedures set forth in *Annex C.6*. Appointment of reviewers is not limited to academic staff in Ghanaian tertiary institutions. Reviewers may be from academic institutions, research and consulting organizations, professional associations, accrediting bodies, and industry training programs in Ghana or elsewhere. In fact, the use of non-Ghanaian reviewers should facilitate a sharing of relevant innovation experiences from outside the country. Reviewers will be appointed for a period of three years on a rotational basis to ensure consistency and continuity within the Panel to which they are assigned. They will enjoy complete independence in assessing the merits of proposals, and will be expected to excuse themselves from participating in decisions that might involve a conflict of interest. The functions of the Non-

Academic Review Panel are to review non-academic proposals according to specific criteria indicated in Section 6 of this Manual. The functions are to be carried out in a similar way to those outlined for the Academic Review Panels in the preceding paragraphs.

- (b) The Non-Academic Review Panel (NARP) will have a core membership of three. As with all other panels, members must have suitable qualifications for the task. Procedures for the selection of members will be similar to those used for the ARPs, with members having a combination of experience and professional qualifications in a relevant area: administration, accountancy, management, MIS, etc. The NARP will also have a supplementary panel of between six and ten members, two of whom will join the core membership at any time, depending on the task on hand. The panel members will be chosen for their qualifications in specific areas and, in some cases, will come from a special institution (for example one from the Ghana Aids Commission). Rotational arrangements will apply to the core membership. Selection will be according to procedures outlined in *Annex C.6*. The function of the Special Independent Review Panel (SIRP) is to review any proposal which has the participation of the supervisory bodies (NCTE, NAB and NABPTEX). The supervisory bodies will submit their proposals to TC who will in turn submit them to SIRP for review. The Panel will take all necessary steps to ensure maximum transparency in its decisions.
- (c) The Special Independent Review Panel (SIRP). This Panel will be formed in a way which makes it independent to the highest degree. Its membership will be determined entirely by nominating bodies as follows:
- One nomination by the Committee of Vice Chancellors and Principals (CVCP)
  - One nomination by the Conference of Polytechnic Principals (COPP)
  - One nomination by the Ghana Institute of Management and Public Administration (GIMPA)
  - One nomination by the Association of Ghanaian Industries (AGI).
  - In addition, the Special Independent Review Panel may co-opt an extra member (such as a management consultant or systems analyst) on a temporary basis to enhance its professional expertise.

No nominee for this panel may be a current employee in the tertiary sector.

To ensure consistency, the Special Independent Review Panel must be informed of all submissions made by the Supervisory Institutions to the Non-Academic Review Panel, and may demand access to any information necessary for it to make a properly informed decision.

### **3.2.5 NCTE TALIF Executive Committee (TEC)**

The primary responsibility of this important committee is to ensure that the accumulated approval of proposals made by the ARPs and PRCs serves the government's stated policy goals for tertiary education, as well as the objectives of the TALIF, strategically and consistently. It discharges this responsibility through the functions indicated below.

#### **3.2.5.1 Functions**

In order to ensure that TALIF activities reflect current tertiary education policies and priorities and that TALIF resources are allocated in an objective and prudent manner throughout the life of the Education Sector Project, the NCTE TALIF Executive Committee (TEC) will do the following:

- On an annual basis, the TEC will recommend to the NCTE, for approval a Table of TALIF allocations that establishes a target amount of TALIF resources to be awarded during each funding cycle throughout the year, through each of the seven funding Windows, by size of proposal awards.
- At the end of each funding cycle during the year, the NCTE acting on the recommendations of the TEC will review the *aggregate of proposals* (not individual proposals) provisionally approved by the institutions' Proposal Review Committees and the TALIF Academic Review Panels to ensure conformity with the targets set in the Table of TALIF Allocations for that cycle. If the proposed amounts in any category exceed the target amount, the TEC shall recommend a remedy. For example, remedies may include, but are not necessarily limited to, the following: requiring that the approval of certain proposals be delayed until the following cycle; or requiring that all proposals in that category be reduced by a proportionate amount; or it may modify the funding target for that category to accommodate the proposed aggregate, recognizing that this may require an adjustment in future targets in that category to maintain long term balance with the overall allocations of the TALIF.
- When the TEC has determined a reasonable allocation by windows and size of proposals, it will recommend to NCTE for the final approval. The TU will be responsible for all necessary follow-up with institutions, their respective PRC, and the proposal originators.
- In the event of an appeal from a supervisory body, (NCTE, NAB, NAPBTEX), the Minister of Education Youth and Sports may convene a committee of experts to consider the appeal.
- Act as an Appeal mechanism for any appeal arising from actions taken by an Academic Review Panel or an institution's Proposal Review Committee. Appeals brought to the TEC from a campus-based Proposal Review Committee may be referred by the TEC to an Academic Area Review Panel for consideration and advice. (Section 9.4 provides details on Appeal procedures).
- Advise NCTE on steps which may be necessary to improve the quality of proposals and the functioning of TALIF.
- Provide a written report to the NCTE of all actions taken.
- Undertake any other activities as requested by NCTE.

### 3.2.3.2 Structure

TEC will have the following members:

- the Chairperson of the NCTE,
- the Executive Secretary, NCTE
- one representative of Finance Committee of NCTE,
- one representative of Academic Committee of NCTE,
- the representative of Association of Ghana Industries (AGI) on NCTE
- the representative of Ministry of Education, Youth and Sports on NCTE,
- the representative of Council for Scientific and Industrial Research (CSIR) on NCTE
- the representative of the Ghana Academy of Arts and Science on NCTE.

Members will be appointed for a period of three years on a rotational basis to ensure consistency and continuity within the Committee. They will enjoy complete independence

in assessing the merits of proposals, and will be expected to excuse themselves from participating in decisions that might involve a conflict of interest.

The TEC may seek advice from or co-opt other experts in order to perform their functions at the highest level.

The TALIF Unit Co-ordinator will serve as Secretary to the TEC.

### **3.3 Involvement of International Experts**

In order to assist Ghanaian tertiary institutions in selecting innovations that help raise their academic programmes to higher standards and to ensure that Ghanaian institutions are able to compete in a global economy and provide leadership throughout the region, international experts in academic innovations may be invited to assist TALIF in the design, implementation, and monitoring of any of its activities and any of its structures.

## **4. PROGRAMMES UNDER TALIF**

### **4.1 Programs and Allocations**

TALIF will support innovative efforts to improve the quality, relevance, and efficiency of tertiary education and to increase access to strategically important academic programmes. Financial support for innovative efforts are available through five general and two special programme windows of TALIF.

General Windows: all institutions with relevant activities are eligible:

1. Polytechnic programmes leading to a Higher National Diploma and Degrees
2. University postgraduate programmes
3. Institutional leadership and management
4. HIV/AIDS prevention and support policies and activities
5. Capacity building in tertiary distance education

Special Windows: eligibility determined according to specific institutional category:

6. Capacity building in tertiary supervisory bodies (NCTE, NAB, NAPBTEX)
7. Strengthening the University for Development Studies

In all cases, allocations will take account of Strategic Development Plans which have been developed for recipient institutions. In a limited number of cases, small initial planning grants may be awarded from the TALIF to aid completion of a Strategic Plan, thus forming the basis for mainstream grant activities.

TALIF Resources will be used to help eligible institutions undertake innovative activities that seek to meet specific TALIF objectives. Resources will be allocated to each programme window initially on the following basis:

1.	Polytechnic programmes	36.0%
2.	Postgraduate programmes	22.0%
3.	Leadership and management	10.0%
4.	HIV/AIDS	4.0%
5.	Distance education	8.0%
6.	Tertiary support institutions	7.5%
7.	UDS	<u>12.5%</u>
	Total	<b>100.0%</b>

The structure of this allocation is intended to ensure that all eligible institutions have access to funds for some of their strategic priorities, and provide opportunities for interested institutions to experiment with, or undertake meaningful reforms in academic programmes and management. The percentages indicated above are to be reviewed at the end of each year following experience with early round(s) of submissions, and may be adjusted with the World Bank's agreement. A high level of particularly good quality submissions may result in an increase in the share of the corresponding sub-component. This may be done only as the result of a review by the TEC; and supported by relevant documents.

Each TALIF programme has specific criteria and processes that institutions must follow to qualify for support. These criteria and processes are elaborated in other sections of this Operations Manual, as indicated in the Table of Contents. Monetary support will be provided on the basis of Performance Agreements. There will be separate *Requests for Proposals* in all five TALIF Programmes on which these Performance Agreements will be based. It is anticipated that there will be two separate calls for proposals each year.

#### **4.2 Programme Windows and Life of Project Allocations:**

Within the five general TALIF programmes, there are two sub-categories based on the budgetary amount of the proposals:

- Small Proposal Window (minimum \$10,000, maximum \$20,000 and 6 months to 1 year duration)
- Regular Proposal Window (between \$20,001 and a maximum \$100,000 per year, \$200,000 per project: duration 1 to 2 years)

Note: no proposals above the amount of \$200,000 will be considered.

**4.2.1** Limitations on Campus PRC Committee approvals of small projects. Since tertiary education institutions differ widely in size, the number of small projects which can be approved by the campus-based Proposal Review Committees will depend on the size of the institution. An initial base level of student enrolment will be determined by NCTE for the year 2003 (or latest year for which final statistical data are available). Institutions will be banded into three categories and allocated a monetary limit for Campus PRC approvals as follows (amounts are per institution per year):

1. Small: < 2,000 students: \$30,000, i.e. 2 or 3 proposals per year
2. Medium: 2,000 to 10,000 students: \$60,000, i.e. 3 to 6 proposals per year
3. Large: > 10,000 students: \$100,000, i.e. 5 to 10 proposals per year

The number of proposals which can be approved is derived from the limits governing the size of each proposals. The bands used in classifying institutions will be reviewed and, if necessary, adjusted to keep the level of small project activity roughly constant.

#### **4.3 The Life Cycle of Innovation and the Developmental Nature of Proposals**

The allocation of TALIF resources over the five years of the Project is initially fixed as follows:

Year 1:	10%
Year 2:	25%
Year 3:	25%
Year 4:	25%
Year 5:	<u>15%</u>
Total	<b>100%</b>

These will be reviewed each year and can be adjusted with the World Bank's agreement.

An essential element in the planning of innovation activities in the Ghanaian context and on a scale as large as that undertaken in TALIF is to design innovative activities in a way that high quality proposals are funded, and that the funding process considers ways for successful innovations to spread. This requires that TALIF recognizes an implicit life cycle of innovations — from imagining a new way of doing something and planning how to translate imagination into action, to pilot testing ideas to determine what works best under different conditions, to dissemination or replication of proven innovations. For the purpose of planning how to support the life cycle of innovation, it is useful to classify proposals into one of three developmental categories (1) *Planning Proposals*; (2) *Pilot Project Proposals*; and (3) *Demonstration Project proposals*.

4.3.1 Planning Proposals are intended to “jump start” innovation by allowing the proposal writers to engage in activities that inform them about innovative choices fitting their circumstances and objectives. Planning activities might include study tours, participation in workshops, visits by visiting experts, short term exchanges, and other information activities that sharpen thinking about innovation options.

4.3.2 Pilot Projects are expected to support activities to implement innovations on a small scale in order to test their efficacy; that is, to determine best practice. For example, an instructor may wish to introduce different types of experiential learning activities into the design of a course as a way of giving students more skills. Or an instructor may wish to re-design a course to take advantage of ICT capabilities as they become available. Or a group of instructors working with the education committee of their professional association may wish to develop an experimental course as a first step in cultivating better problem-solving skills among graduates.

4.3.3 Demonstration Proposals are designed to support activities that replicate or extend successful small-scale innovations to a larger scale, such as applying a distance education learner support technique developed and tested in one setting or course to all courses in a programme.

This does not imply that all proposals are expected to go through the developmental sequence of planning, pilot and demonstration. Some innovators may already be piloting activities that are ready for demonstration in other academic programmes in their institution or in other institutions and they should develop a proposal with that objective in mind, and within the guidelines of the selection criteria of TALIF. Other innovators may already have a mature plan that is ready to be piloted, and they should prepare proposals with this objective in mind, consistent with the guidelines of the selection criteria of TALIF.

TALIF will operate on the basis of annual allocations to each of its seven programme windows and on guidelines set by the NCTE on the recommendation of the TEC. These allocations will seek to provide a balance between first time proposals in any developmental phase (planning, pilot and demonstration) and those that have already received an award and are now progressing to the next phase. Similarly, the annual allocations will seek to provide an appropriate balance among planning, pilot and demonstration proposals across the life of TALIF. It is anticipated that in the early years of TALIF, there will be more successful planning proposals than pilot and demonstration proposals. In the middle years, it is expected that there will be more successful pilot proposals than either planning or demonstration proposals. And, in the final years of TALIF, it is expected that there will be few successful planning proposals and more successful demonstration proposals than pilot project proposals.

## 5.0 INSTITUTIONAL ELIGIBILITY CRITERIA

To be eligible to receive TALIF funding and benefits, institutions will need to meet certain criteria. The proposed eligibility criteria are:

- (a) Be recognized as a public tertiary institution, or as a private institution which has not less than three years continuous accreditation from the National Accreditation Board (NAB) and has collaborative ventures with a public tertiary education institutions.
- (b) Timely submission of externally audited institutional accounts during the life of the project.
- (c) For the first two years of the project, present a draft medium-term strategic plan for the institution. For subsequent years, a Strategic Plan that has been approved by the Governing Council of the institution will be required.
- (d) Written agreement to abide by the procurement and financial management arrangements that are associated with the Education Sector Project.

Allocations to Private tertiary institutions may not exceed 10% of any Window, and may not exceed 2% of the total Fund allocations in any year. In the case of a joint Public/Private project proposal, the amount of funds going to the Private sector participant(s) should be clearly identified from the outset.

## 6.0 TALIF PROGRAMMES: SELECTION CRITERIA

### 6.1 *Small Proposal Window Criteria (Up to \$20,000)*

6.1.1 Nature of accreditation status: Any academic programme may submit a proposal to the TALIF regardless of its accreditation status. However, academic programmes that have received conditional accreditation or have been denied accreditation are limited in the scope of their proposal to addressing deficiencies concerning their accreditation status.

6.1.2 Relevance: Two conditions of relevance must be addressed in all small proposals:

- (a) *Relevance to an institutional strategic plan*: Proposals must demonstrate relevance to the strategic plan of the institution in which the proposal seeks to introduce an innovation. If the proposal is from more than one institution, it must show relevance to all of the concerned institutions. Relevance must be evidenced by a letter from the appropriate institutional authority affirming this.
- (b) *Relevance to at least one of the specific objectives of TALIF.*

6.1.3 Feasibility: within the time and resources requested.

6.1.4 Feasibility: within existing institutional conditions related to proposed activities;

6.1.5 Innovative: a proposal must meet a *definition of innovation* that is appropriate to the context of the institutional conditions in which the proposed activity will be carried out.

### 6.2 *Regular Proposal Window Criteria (Between \$20,001 and \$200,000)*

6.2.1 Proposals must meet all the criteria for a Small Proposal plus the following additional criterion:

6.2.2 **Relevance:** Proposals must demonstrate relevance to a total of *at least three* Specific Objectives of TALIF (but not necessarily of the same General Objective).<sup>2</sup>

6.2.3 **Accreditation:** If the proposal is from an academic programme, the programme must have either accredited or conditionally accredited status. Programmes that have been denied accreditation are not eligible for this funding Window.

### **6.3 General and Specific Objectives for Meeting Project Criteria**

For the purposes of fulfilling the selection criteria, a definitive set of general and specific objectives for different Windows is provided in *Annex C.13*.

## **7.0 INFORMATION AND PUBLICITY ABOUT THE FUND**

### **7.1 Roles of NCTE TALIF Unit, TALIF Coordinators, Institutions**

The TU will periodically issue public announcements of its Requests for Proposals and will ensure that they appear as newspaper notices in each of the country's main population centres, and will simultaneously transmit printed announcements and posters, together with proposal application forms and written instructions, to each campus-based TALIF Coordinator (TCC). The TCCs, for their part, will be responsible for the dissemination of this Request for Proposals to all of the institution's senior managers, faculty deans, and department heads, as well as to the members of the institution's Proposal Review Committee. The institutions, as represented by their senior managers, faculty deans, and department heads, will be responsible for the further dissemination of this information to staff serving under them. A TALIF website will be established by the NCTE as a priority, and the TU will be responsible for regular up-dating. Every effort should be made to have documentation available on-line, especially details of project proposal calls, rules, and procedures, and downloadable application forms.

### **7.2 Eligibility Requirements**

All regularly appointed academic staff, administrative staff, and registered full-time students are eligible to participate in TALIF sponsored activities.

### **7.3 Counterpart Contributions**

Each proposal is required to receive a 10% contribution to its proposed budget from its sponsoring institution. There are three reasons for this: (a) it ensures that the proposal is viewed as a potentially valuable contribution to the institution's development; (b) it lays the groundwork for financial sustainability through continued recurrent budget support if the innovative activity is judged to be successful; and (c) it represents the government's required 10% contribution of counterpart funding to Bank-financed activities. In addition, proposals are encouraged to draw upon the institution's own internally generated income to further supplement their financial needs.

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<sup>2</sup> For example, a proposal may seek (1) to enhance the content of the curriculum of a program, (2) to enhance the awareness and competence of academic staff in regard to curricular content, and (3) to improve the physical learning environment through improved labs. All three are specific objectives addressing the General Objective of Improving the Quality of teaching and learning.

## **8.0 PROPOSAL GUIDELINES AND PROCEDURES**

### **8.1 *The Generation of Requests for Proposals***

As described above in paragraph 7.1, the TU will periodically (twice yearly) issue a public request for proposals in accordance with its annual work plan as approved by NCTE (see *Annex C.11*).

### **8.2 *Standard Proposal Submission Form.***

Standard proposal forms will be employed by TALIF to ensure that comparative information is available on all proposals. The suggested format for this proposal submission form is provided in *Annex C.7*.

### **8.3 *Proposal Submission Procedures and Deadlines***

Deadlines for proposals submission will be defined by the TU, in consultation with the TEC in its annual work programme. Proposals received in TU after midnight of the deadline date will be deferred, for consideration, to the next funding cycle. Submission procedures and process are outlined in *Annex C.7*, as follows:

- Proposal is submitted on standard form to PRC prior to submission deadline.
- TALIF Campus Coordinator registers in the proposal, reviews it for completeness, makes copies, and forwards it to the institution's PRC members one week prior to the date of their next meeting.
- PRC reviews each proposal for consistency with institution's strategic plan; assigns a priority ranking on this basis, and determines which proposals will be endorsed through the commitment to provide counterpart funding from the institution's recurrent budget. For proposals up to \$20,000, it makes a funding decision (subject to the limitations as defined in Section 4, paragraph 4.2.1 above), and communicates this decision to the TU and to the proposal originator.
- Upon receipt of institutionally endorsed proposals, the TU registers them assigns each one to an appropriate ARP, and arranges for its review, either electronically or in a face-to-face meeting of the Panel.
- Proposals recommended for funding by the ARPs are forwarded to the TEC for assessment of their aggregate budgetary implications and the overall relationship of these aggregates to the government's announced tertiary education policy goals (e.g., to increase enrolments in science and technology programs; to provide greater access to disadvantaged groups or regions).
- TEC undertakes its aggregate assessment of proposals recommended for funding under this particular TALIF Window.
- Following possible adjustments introduced by TEC, the proposals will be recommended to NCTE for approval. The TU will prepare Performance Agreements for signing by the Executive Secretary of the NCTE.
- The signed Performance Agreement is returned to TU for the preparation of file copies for the TU, the disbursement officer, and the relevant TCC. The TU subsequently transmits three (3) original approved Performance Agreements to the proposal originator for signing through the institution's TCC.
- The proposal originator signs the three original Performance Agreements, keeping one for him/herself and returning the other two to the respective TCC.
- The TCC then transmits one signed original of the Performance Agreement to the TU, and provides the second copy to the institution's Financial Officer.

- Upon receipt of the signed Performance Agreement, the NCTE Financial Officer arranges for the disbursement of funding for Milestone 1 to the host institution in accordance with the approved funding schedule, and debits this amount to the NCTE's special account for TALIF.
- Upon receipt of this disbursement, the institution's Financial Officer deposits this amount into the institution's special account for TALIF, and immediately pays this amount to the proposal originator.

## **9.0 PROPOSAL REVIEW**

### **9.1 Standard Peer Review Criteria and Ratings**

A list of proposed review criteria for use by the ARPs is proposed in *Annex C.9*, together with possible associated ratings. These criteria and ratings may be reviewed at the end of the funding cycle by TEC to determine whether they may require modification or substitution. A score sheet template is provided in *Annex C.10*. Based on its ratings and overall qualitative assessment, a Review Panel will recommend one of the following: (a) Acceptance; (b) Review and Re-submission; (c) Rejection.

### **9.2 Proposal Feedback and Qualitative Comments from Peer Reviewers**

Each ARP will attach qualitative comments to each proposal reviewed for consideration by the proposal originator. Comments may discuss the relationship of the proposal to TALIF priorities, suggest a sharper focus to the research question, pose possible improvements in methodology, urge a more effective organization or work, and/or recommend a more efficient use of budgetary resources. The purpose of the comments is to improve the quality of the ensuing proposal, or provide a basis for understanding a possible rejection of the proposal and what might need to be addressed in order to revise it for a possible re-submission.

### **9.3 Re-submission of Proposals**

Proposals that have been rejected or returned for further development may be revised in response to ARP comments and re-submitted, during the next call for proposals, to the relevant programme window.

### **9.4 Appeal of Proposal Assessment**

If the originator of a proposal believes that his/her proposal has been assessed unfairly by the PRC or an Academic Review Panel, the originator may file a written appeal with the Executive Secretary of NCTE. Upon receipt of a written appeal, the Executive Secretary will, in consultation with the TU Co-ordinator, select one of the following three courses of action: (a) refer the proposal in anonymous form to an independently convened sub-panel of three area specialists for a second opinion; (b) refer the appeal to the TEC for a decision; or (c) reject the appeal as materially unfounded. In the case of an appeal coming from an originator in Window 6 (Tertiary Supervision bodies), the appeal should be sent directly to TEC for a decision.

## **10.0 ELIGIBLE AND NON-ELIGIBLE PROPOSAL EXPENDITURES**

As explained above, proposals should propose to achieve performance or output targets that represent a qualitative improvement in one of the topical areas represented by the programme windows of TALIF. The various activities and inputs required to achieve these outputs will be reflected in the structure and content of the proposal's budget. Most proposed expenditures will be eligible for support by TALIF.

### **10.1 Eligible Expenses: Goods and Minor Civil Works**

Teaching equipment, instructional equipment, and research equipment of broad use (i.e., not for the exclusive use of one or two individuals) are eligible expenses. Classroom furniture, computers, computer accessories of broad instructional application, textbooks, scientific journals, and other instructional inputs are also eligible. With strong justification, the purchase of mini-buses to transport students to field work, industrial attachments, or community placements may also be permitted on an exceptional bases. Minor civil works (i.e., up to a value equivalent to US\$20,000) will be eligible only if they are required to modify an existing building in order to accommodate new equipment (e.g. additional electrical wiring; security doors and bars).

### **10.2 Eligible Expenses: Professional development for academics, doctoral students and administrators**

Various types of short and medium term training will be supported when justified by an approved proposal. These include: work attachments in other institutions, half of which may not exceed 12 weeks duration and none of which may exceed 24 weeks duration; paid professional training courses, half of which may not exceed 12 weeks duration and none of which may exceed 24 weeks duration; academic staff exchanges of not more than one semester in duration; attendance at regular scheduled scientific meetings when the participant will be presenting a paper; post-doctoral or sabbatical study programs for serving members of an institution's academic staff of not more than 12 weeks duration; up to 25 weeks in residence at another university in order to enable a doctoral candidate to undertake dissertation research; up to 38 weeks in residence at another university in order for serving members of a tertiary institution's academic staff to acquire a Master's degree; and distance education courses of all types.

### **10.3 Non-eligible Expenses**

The following expenses will not be covered by financial awards from the Fund: vehicles (other than in the exceptional cases noted in 10.1); civil works to construct a new facility; civil works to rehabilitate an existing facility in excess of US\$20,000; and full-time PhD studies in residence overseas.

## **11.0 PERFORMANCE AGREEMENTS**

### **11.1 Award Notification and Grant Contracting**

Following TEC review and approval of aggregate ARP recommendations for proposal funding awards, a list of the approved proposals will be announced publicly and published in a national newspaper as well as on the project website. Notification of the award will be made to the proposal originator in the form of a Performance Agreement that will define the terms of project financing and the originator's fiduciary and other project responsibilities. Three original copies will be sent to the originator for signature by the originator and his/her head of Department or relevant academic or administrative unit. When signed, one copy may be retained by the originator for reference. A second copy will be provided to the institution's Chief Financial Officer. A third copy will be returned to the TALIF Unit at the NCTE to trigger disbursement of the first milestone payment. In the case of Contracts involving tertiary supervisory bodies (Window 6), the contract will also be signed by the Chief Director, MOE.

### **11.2 Responsibilities for Contract Development, Awarding and Monitoring**

Standard Performance Agreements will be developed by the TU and modified as necessary to accommodate the specific circumstances of an approved proposal. An example is provided in *Annex C.15*.

### **11.3 Performance Indicators**

Drawing upon the content of an approved proposal, each Performance Agreement will contain two types of performance indicators: (a) performance milestones, used to measure implementation progress and to provide benchmarks for the release of project funds; and (b) performance goals, used to measure the ultimate impact of project activities.

### **11.4 Sample Performance Agreements**

A sample Performance Agreement is provided in *Annex C.15*.

### **11.5 Amendments to Performance Agreements**

Upon the receipt of a justifiable request from the proposal originator, the NCTE may amend the Performance Agreement to reflect a modified agreement. However, such amendments may not increase the amount of approved funding for the sub-project.

### **11.6 Intellectual Property**

Any intellectual property produced in the course of research or experimentation conducted under an approved TALIF proposal, whether these be products, techniques, or services, will belong to the tertiary institution that sponsors and hosts the respective TALIF proposal. The institution may share or cede these benefits to third parties, including the proposal originator(s), in accordance with prevailing institutional norms.

## **12.0 FINANCIAL MANAGEMENT AND FINANCIAL REPORTING REQUIREMENTS**

The Financial Management and financial reporting requirements are described in the NCTE Financial Accounting Manual.

## **13.0 PROCUREMENT OF EQUIPMENT AND CONTRACTING OF MINOR CIVIL WORKS**

All procurement under the project will be based on regulations contained in the Procurement Manual prepared by the Ministry of Education, Youth and Sports for use by all its agencies.

## **14.0 TABLE OF TALIF ALLOCATIONS**

A Table of Allocations will guide the proportions of the TALIF that are designated to each of the TALIF programme windows in any given year. Allocations for the first year of TALIF are indicated in *Annex C.12*. Prior to submitting a Call for Proposals for each subsequent calendar year of TALIF, the NCTE, acting on recommendations from the TEC, will review and adjust this Table of Allocations as necessary to ensure that government's main policy objectives for tertiary education are accorded appropriate priority and incentives in the allocation of the TALIF resources.

## **15.0 PROJECT MONITORING**

### **15.1 Responsibilities for Monitoring**

The campus-based PRCs will be responsible for verifying that performance milestones included in performance agreements have been reached, and for, subsequently, informing the TU that the next payment of funds under this contract may be made. TALIF Officers will periodically visit campuses to assess progress, address problems, and review the

achievement of performance milestones. In addition, once a year, teams comprising TCCs from particular institutions will collectively visit their institutions for an annual assessment of TALIF accomplishments. The report from these visits will constitute an important part of the project's annual progress report.

### ***15.2 Timing of Monitoring***

Project monitoring by TCCs on their respective campuses will be continuous. Group monitoring by particular institutions will be carried out in August of each project year.

### ***15.3 Monitoring Reports***

A written report from the group monitoring teams will be submitted to the TU Coordinator by September of each project year so that it may be incorporated into the project's annual progress report.

### ***15.4 Follow-up of Monitoring Recommendations***

Group monitoring reports may include recommendations for improving the functioning or impact of TALIF. The TU Coordinator is responsible for following up on such recommendations within four weeks of their receipt.

## **16.0 AMENDMENT OF THIS OPERATIONS MANUAL**

This Operations Manual should be viewed as a "living" reference document that can and should be revised, modified or amended on the basis of experience acquired in the implementation of the TALIF.

## **ANNEX TO COMPONENT C**

### **Development and Innovation in Tertiary Education**

#### **List of Annexes**

- Annex C1: Definitions and Background Discussion
- Annex C2: Selected Disciplinary Areas of National Priority
- Annex C3: Functional Organogram of Innovation Fund Structure
- Annex C4: Functions of Campus-Based TALIF Co-ordinator
- Annex C5: TALIF Staff: Qualifications and Functions
- Annex C6: Procedures for the Nomination, Selection and Appointment of Reviewers and International Experts.
- Annex C7: Standard Proposal Submission Form.
- Annex C8: Submission Form Supplement for Entrepreneurial Projects
- Annex C9: Guidelines for Peer Reviewers
- Annex C10: Proposal Scoring Form
- Annex C11: Sample Work Plan for TALIF
- Annex C12: Table of Allocations
- Annex C13: Tables for Objectives, Activities, Procedures and Outcomes of TALIF Sub-components
- Annex C14: TALIF Unit (TU)
- Annex C15: Performance Agreement
- Annex C16: TALIF Campuses

## **Annex C.1**

### **Definitions and Background Discussion**

#### **1. Introduction:**

Experiences of new and better ways of doing things are now shared between academic communities through the Internet, the mass media, video conferencing, and other technologies. The use of “innovation funds” to promote and finance improvement in tertiary education quality is relatively new. For instance, an Innovation Fund was introduced at the Higher Education Funding Council for England (HEFCE) in 1992. In 1995, Argentina embarked on “Fund for University Quality Improvement” (FOMEC). Today, several other countries have established similar initiatives (e.g., Chile, Venezuela, Hungary, Egypt, Mozambique, Sri Lanka, Vietnam).

#### **2. Definitions:**

An innovation can be defined as “a new way of doing things that produces a better result.” Innovation in tertiary education seeks to support improvement in the quality, relevance and efficiency of the teaching and learning process. Innovations are financed through a special funding mechanism – the Innovation Fund (TALIF). TALIF is basically a pool of financial resources that can be accessed by groups or organizational units within the tertiary campus communities to carry out new initiatives or experiment with innovative approaches to deal with problems in teaching, learning and management. TALIF allows groups to develop their innovative ideas and present them in an application for financial support to carry out their proposals. These proposals are evaluated by an awards committee which recommends funding for those that meet the funding criteria. Thereafter the groups implement their proposals within their home institution and the results are evaluated. This way, positive outcomes and promising ideas are shared with the tertiary education community at large.

#### **3. Background:**

Traditional financial planning and funding methods are generally based on the number of students enrolled and other variables. These funding systems are prevalent in most countries. This approach has evolved in some countries from attempts to reward gains in quality and efficiency, and take into account differential costs according to the type of program. The most common approach to fund-based allocation of resources exists in the research field where the funds are usually designed to encourage excellence in the generation of new knowledge through a competitive application process. However, research funds differ from TALIF. In contrast to research funds, an TALIF is less competitive because it rewards those proposals that reach a certain minimum standard, rather than selecting the “best of the best.” It also contains the flexibility necessary to establish a “level playing field” among institutions of different sizes and strengths. In addition, a “performance agreement” establishes agreed performance indicators and funds are disbursed as these defined milestones are achieved. Supplemental allocations may be made to institutions as long as they achieve the agreed performance indicators.

#### **4. Characteristics of TALIF**

TALIF has the following characteristics:

- i) It enables an institution's academic units to link their strategic planning with actual prospects for strategic implementation of the plan.
- ii) Its application for funding summarizes a systematic exercise in which problems are defined and diagnosed, multi-year strategies for their resolutions are elaborated, and goals, performance indicators, human resources, and financial needs are established.
- iii) It respects institutional autonomy in its design while encouraging institutions to think holistically about their planning and development.
- iv) Its financing, on approval, is shared proportionately from three sources, i.e. the World Bank resources, the government-agreed counterpart contribution, and the tertiary education institutions agreed participation.
- v) It encourages programme evaluation and reinforces accreditation efforts.
- vi) It addresses other requirements such as strategic planning capacity building and adequate financing for the improvement of tertiary education quality.
- vii) TALIF functions in relative autonomy from the national governments, the World Bank, and tertiary education institution leadership. Organizationally, it is guided by TEC, but excludes serving officers of tertiary education institutions.

## **Annex C.2**

### **Selected Disciplinary Areas of National Priority Highlighted in the Ghana Poverty Reduction Strategy**

#### **CITY AND TOWN PLANNING**

#### **ECONOMICS**

- Banking and Finance
- International trade/economics
- Macro-economic policy

#### **BUSINESS ADMINISTRATION**

- Small business development/entrepreneurial training
- Micro-finance and credit
- Marketing
- Regulations and quality standards

#### **AGRICULTURE**

- Agricultural Engineering
- Agricultural extension
- Forestry
- Aquaculture
- Animal Production
- Veterinary Medicine
- Soil Science
- Crop production

#### **RURAL DEVELOPMENT**

#### **EDUCATION**

- Teacher training
- Science and Math teacher training
- In-service training (distance education)
- Vocational/technical education
- School inspection/school management

#### **ENVIRONMENTAL MANAGEMENT**

#### **PHYSICS/ELECTRICAL ENGINEERING**

#### **COMPUTER SCIENCE**

#### **TOURISM**

#### **HEALTH SCIENCES**

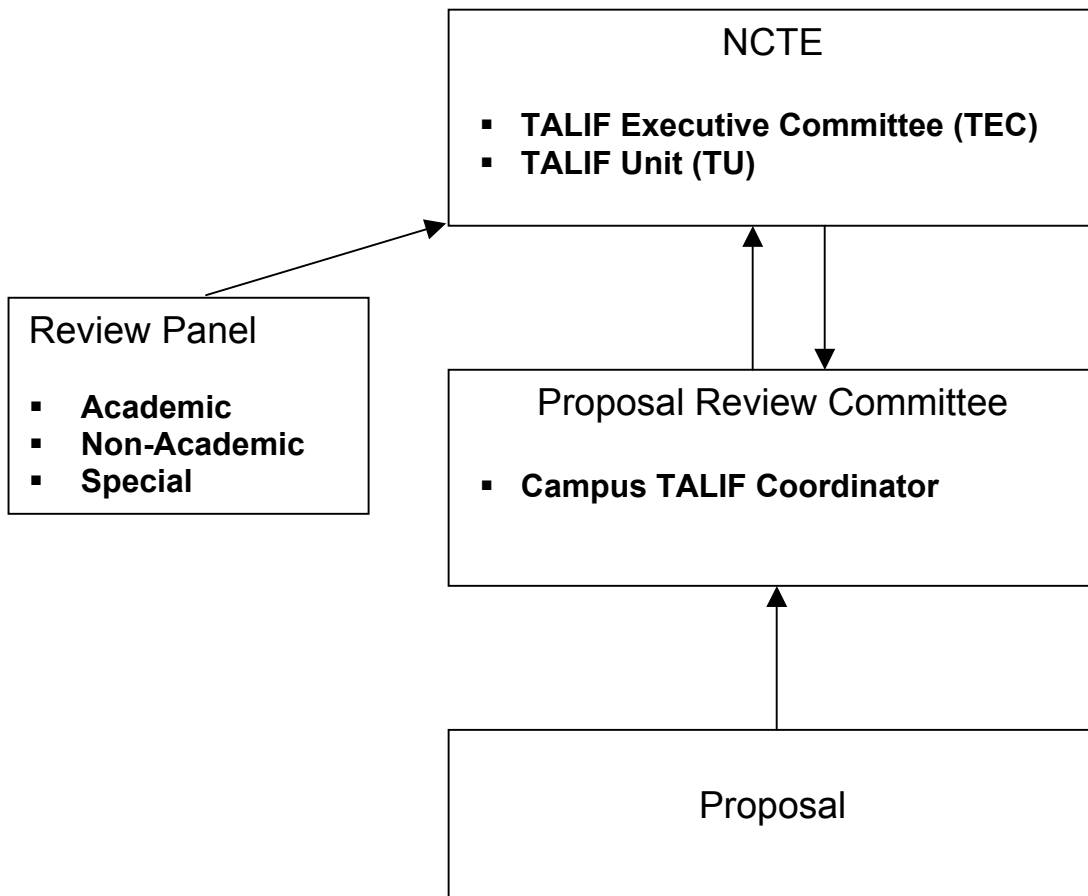
- Public health
- HIV/AIDS
- Family planning

#### **LAW**

#### **STATISTICS**

### Annex C.3

#### Functional Organogram of Innovation Fund Structure



## **Annex C.4**

### **Functions of Campus-Based TALIF Coordinator (Secretary to Proposal Review Committee [PRC])**

During TALIF's first year of operation, a full-time campus-based TALIF Coordinator will be appointed by the Vice-Chancellor/Principal on the basis of his or her skills in innovation, organization and communication. In subsequent years, the Coordinator may be changed based on his/her performance.

#### **FUNCTIONS:**

The TALIF Campus Coordinator (TCC) will have the following three main functions:

- (i) To publicize TALIF calls for proposals, inform potential applicants of guidelines and procedures, receive completed proposals from within the institution, check them for completeness and compliance with guidelines, and forward them to the Proposal Review Committee for action.
- (ii) To promote, support and disseminate innovative activities within his/her institution.
- (iii) To liaise with the TU/NCTE with regard to project monitoring, financial administration, and management responsibilities.
- (iv) To serve as secretary to the Proposal Review Committee

In furtherance of these main functions, the TCC and the PRC:

1. will disseminate information on all project activities to the campus community.
2. will publicize the results and achievements of project activities to the campus community.
3. will support and assist campus awardees of TALIF grants and training awards to carry out their planned programs, and facilitate the implementation of project activities within the institution.
4. will monitor and evaluate the progress of approved proposals under the TALIF, identify delays in implementation, and address the causes of such delays.
5. will ensure that the eligibility requirements for the institution's participation in TALIF are met and maintained.
6. will host and coordinate all TALIF-related visits to tertiary education institutions
7. will be accountable to the Vice-Chancellor/Principal for the effective implementation of TALIF activities in tertiary education institution.
8. The TCC shall accompany Vice-Chancellor/Principal to the annual Consultative Review meetings on the project.

## **Annex C.5**

### **TALIF Staff: Qualifications and Functions**

#### **(1) TALIF Unit Coordinator (TC)**

##### **(a) Qualifications and Experience**

Minimum of a Masters degree in Arts, Social Sciences, Law, Sciences, Management Science, Engineering, and other Applied Sciences.

Applicants, who must not be below the rank of a Senior Lecturer or its equivalent, should have a minimum of 10 years post-qualification teaching and research experience within the Ghanaian tertiary education system. Previous experience in a World Bank funded project will be an advantage.

##### **(b) Functions**

- Plans, organizes and implements the annual TALIF work program.
- Publicizes the goals, procedures and achievements of TALIF to participating institutions, the media, and the general public.
- Identifies sub-standard proposals that qualify for technical assistance and arranges for same.
- Reports to Executive Secretary, NCTE

#### **(2) TALIF Officer (Polytechnics and Distance Education)**

##### **(a) Qualifications and Experience**

Minimum of a Masters degree in Management Science, Engineering, Agriculture or other applied sciences.

Applicants, who must not be below the rank of a Senior Lecturer or its equivalent, should have a minimum of 8 years post qualification teaching and research experience within the Ghanaian tertiary education system. Previous experience in a World Bank funded project will be an advantage.

##### **(b) Functions**

- Responsible for the polytechnic and distance education funding programmes of TALIF as well as its timely and full implementation.
- Responsible for the orderly collection and eligibility screening of proposals received; the preparation of documents and logistical arrangements necessary to convene the proposal review panels; the recording of all review panel funding recommendations; the notification of all applicants of the results of their funding applications within 20 working days of the review panel's decisions; and the preparation of consequent funding contracts for awardees.
- Prepare package of briefing and orientation materials, including model contracts, for proposal awardees and their universities to use in the implementation of their approved projects.
- Organize and maintain all TALIF proposal award files for the Polytechnics and Distance Education programmes.

- Should strive to be generally knowledgeable regarding tertiary education innovation experience at the global level and within the tertiary education system.
- Report to TC.

### (3) **TALIF Officer (Postgraduate Program and AIDS)**

#### (a) Qualifications and Experience

Minimum of a Masters degree in Arts, Social Sciences, Law, Sciences, Management Science, Engineering, or other applied sciences.

Applicants, who must not be below the rank of a Senior Lecturer or its equivalent, should have a minimum of 8 years post qualification teaching and research experience within the Ghanaian tertiary education system. Previous experience in a World Bank funded project will be an advantage.

#### (b) Functions

- Responsible for the Postgraduate and HIV/AIDS funding programs of the Innovation Fund as well as their timely and full implementation.
- Responsible for the orderly collection and eligibility screening of proposals received; the preparation of documents and logistical arrangements necessary to convene the proposal review panels; the recording of all review panel funding recommendations; the notification of all applicants of the results of their funding applications within 20 working days of the review panel's decisions; and the preparation of consequent funding contracts for awardees.
- Prepare package of briefing and orientation materials, including model contracts, for proposal awardees and their universities to use in the implementation of their approved proposals.
- Organise and maintain all Fund proposal award files for the Postgraduate and AIDS programmes.
- Should strive to be generally knowledgeable regarding higher education innovation experience at the global level and within tertiary institutions.
- Report to TC.

### (4) **TALIF Officer (Management and Training)**

#### (a) Qualifications and Experience

Minimum of a Masters degree in Management Science or a related professional field.

Applicants, who must not be below the rank of a Senior Lecturer or its equivalent, should have a minimum of 10 years post qualification teaching and research experience within the Ghanaian tertiary education system. Previous experience in a World Bank funded project will be an advantage.

(b) Functions

- Responsible for organizing and implementing system-wide leadership and management development training activities for institutional staff and student leaders.
- Responsible for the leadership and management funding programme of TALIF as well as its timely and full implementation.
- Responsible for the orderly collection and eligibility screening of proposals received; the preparation of documents and logistical arrangements necessary to convene the proposal review panels; the recording of all review panel funding recommendations; the notification of all applicants of the results of their funding applications within 20 working days of the review panel's decisions; and the preparation of consequent funding contracts for awardees.
- Prepare package of briefing and orientation materials, including model contracts, for proposal awardees and their tertiary education institutions to use in the implementation of their approved projects.
- Organize and maintain all TALIF proposal award files for the leadership and management programme.
- Should strive to be knowledgeable regarding higher education management innovation experience at the global level and within tertiary institutions.
- Report to TC.

(5) **Procurement Trainer**

(a) Qualifications and Experience

At least ten years experience in project management with an emphasis on procurement. Must have completed World Bank training courses on procurement, and have experience with procurement under World Bank guidelines. Prior experience in procurement training will be an asset.

(b) Functions

- Trains procurement staff of tertiary institutions in World Bank guidelines for procurement.
- Visits institutions periodically to review their project procurement activities and provide on-the-spot training as necessary.
- Maintains register of contracts for the project.
- Reports to the Executive Secretary, NCTE
- Period of engagement should not exceed two years.

(6) **Project Accountant**

(a) Qualifications and Experience

At least ten years experience with large value project accounting, preferably under World Bank procedures. Professional qualification as a Chartered Accountant.

(b) Functions

- Maintains all project accounts and prepares all project financial reports.
- Receives quarterly financial reports from tertiary education institutions and prepares a consolidated project quarterly financial report.
- Reports to the Executive Secretary, NCTE

## **Annex C.6**

### **Procedures for the Nomination, Selection and Appointment of Reviewers and International Experts**

The following are the procedures for the appointment of Reviewers and International Experts to the Academic Review Panels (ARP):

- (1) Preparation of Terms of Reference (TORs) for Reviewers and International Experts. This will be derived from their responsibilities, viz: assessment using Guidelines for Peer Reviewers and Proposal Grading Form in Appendices 9 and 10, respectively.
- (2) The TORs will be sent to the World Bank for a No-Objection.
- (3) Letters requesting an Expression of Interest, with the World Bank-approved TORs attached, will be sent to prospective candidates who would serve as reviewers/international experts. These candidates will be expected to respond to the letters and TORs with their CVs attached to their positive responses.
- (4) Selection criteria for evaluating the responses from the candidates based on item No.3 above will be developed.
- (5) The responses from the candidates will be graded utilizing the selection criteria for the final selection of the Reviewers/International Experts.
- (6) The final list will be copied to the World Bank for its record.

## **Annex C.7**

### **Standard Proposal Submission Form**

All Proposals for TALIF must be submitted on a diskette and in signed hardcopy using this standard form. The electronic format allows use of the space necessary to complete each section of the form and also enables more rapid transmission to members of the Academic Review Panel. Diskettes with the blank templates are available at the TU. Please complete the information requested on the diskette and return along with a printed and signed copy of the proposal to the campus-based TALIF Coordinator. The printed copy of the proposal should contain the originals of all necessary endorsements (with the appropriate signatures), and any attachments (such as CVs) as requested.

**Project Name/Title:**

\_\_\_\_\_

**Part 1: Contact Details**

*Main contact name:*

\_\_\_\_\_

Position:

\_\_\_\_\_

Organizational unit: \_\_\_\_\_

Institution: \_\_\_\_\_

Mailing address: \_\_\_\_\_

City: \_\_\_\_\_

Email address: \_\_\_\_\_

Office phone: \_\_\_\_\_ Office fax: \_\_\_\_\_

Home phone: \_\_\_\_\_ Cellular phone: \_\_\_\_\_

*Alternative contact name:*

\_\_\_\_\_

Position: \_\_\_\_\_

Organizational unit: \_\_\_\_\_

Institution: \_\_\_\_\_

Mailing address: \_\_\_\_\_

City: \_\_\_\_\_

Email address: \_\_\_\_\_

Office phone: \_\_\_\_\_ Office fax: \_\_\_\_\_

Home phone: \_\_\_\_\_ Cellular phone: \_\_\_\_\_

**Part 2: Statement of Objectives:**

What does this proposal seek to accomplish?

How will this proposal lead to improved teaching and learning at your institution?

Explain how these expected accomplishments are consistent with the specific goals of the Innovation Fund (TALIF) and will contribute to the implementation of your institution's strategic plan.

**Part 3: Description of Activities**

Please describe all the actions that will be undertaken during the project, their purposes, and the ways in which they will interact. This should include, for instance, a description of new courses to be offered in the proposed program; what new types of degrees these would lead to (Diploma, Bachelors, Masters, and/or Doctorate degrees); the credentials, role, and length of stay of any visiting professors or technical experts; the contribution of any visiting professors; the contribution and use of any requested pedagogic and library materials to the project; the role and expected use of any laboratory equipment requested; and the unique features of any new approach to existing processes, procedures and methods. List the largest and most important activities first.

*Activity 1*

**DESCRIPTION:**

**PURPOSE:**

---

*Activity 2*

**DESCRIPTION:**

**PURPOSE:**

---

*Activity 3*

**DESCRIPTION:**

**PURPOSE:**

---

(Add more pages as needed.)

**Part 4: Statement of Credentials of Project Participants:**

Please provide below a brief description of the academic credentials, professional experience, relevant publications, and current positions and responsibilities of academic staff to be involved in the project. (CVs to be attached).

<b>Name</b>	<b>Academic Credentials</b>	<b>Professional Experience</b>	<b>Current Position</b>	<b>Relevant Publications</b>

*(Use additional pages if necessary.)*

**Part 5: Statement of University Co-financing Support and Project Endorsement**

I, \_\_\_\_\_ (name), \_\_\_\_\_ (title/position), of \_\_\_\_\_ (institution), affirm that this institution endorses the attached project proposal, and that this institution is fully committed to its successful implementation. To this end, it will provide the resources listed below in support of the proposal in accordance with its implementation schedule, if this proposal is awarded a grant from TALIF.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

*Tertiary Education Institution Co-financing Commitment:*

During Project Implementation (must equal at least 10% of grant request)

<b>Item</b>	<b>Quantity/Amount (cedis)</b>	<b>Estimated Cost/Value (cedis)</b>
Staff Time		
Position A		
Position B		
(etc)		
Buildings/Facilities		
Facility A		
(etc.)		
Maintenance Costs		
Laboratory Technicians		
Other Overhead Costs		
Student Scholarships		
Doctoral		
Masters		
Undergraduate		
<i>Total</i>		

**Sustainability:** Resources for Period Following Project Implementation

<b>Item</b>	<b>Quantity/Amount (cedis)</b>	<b>Estimated Cost/Value (cedis)</b>
Staff Time		
Position A		
Position B		
(etc)		
Buildings/Facilities		
Facility A		
(etc.)		
Maintenance Costs		
Laboratory Technicians		
Other Overhead Costs		
Student Scholarships		
Doctoral		
Masters		
Undergraduate		
<i>Total</i>		

**Part 6: Statement of Context:**

This section should provide a brief summary of any related academic programs offered in the applicant’s institution. It should explain the extent of the similarities and differences with these existing programs, how they will address similar or different needs, and any collaboration, complementarity, or resource-sharing that may be contemplated. It should also list the existing relevant resources at the applicant’s university that will be used in the project. These may be special equipment, other existing labs, library collections or journal subscriptions, available human resources from other departments, etc. This will be important for judging the proposal’s potential contribution to efficiency improvements.

<b>Program One (name + institution)</b>	<b>Characteristic with respect to Project</b>
Similarities:	
Differences:	
Complementarity:	
Collaboration/ Resource Sharing:	

<b>Program Two (name + institution)</b>	<b>Characteristic with respect to Project</b>
Similarities:	
Differences:	
Complementarity:	
Collaboration/ Resource Sharing:	

<b>Program Three (name + institution)</b>	<b>Characteristic with respect to Project</b>
Similarities:	
Differences:	
Complementarity:	
Collaboration/ Resource Sharing:	

Use of Existing Tertiary Education Institution Resources by the Proposal:

<b>Resource</b>	<b>Currently used for/by</b>	<b>Proposed Project Use</b>

**Part 7: Implementation Plan/Schedule of Activities/Performance Indicators:**

This table would provide the expected dates for the start and completion of all activities; the schedule may contain several “milestones” for complex activities that take place over longer periods of time. (This schedule will become part of the grant agreement for funded proposals and will determine the schedule of purchases and disbursement agreements.) For each activity, please also provide one each of the following indicators where appropriate: (a) an indicator demonstrating that the proposed activity has been completed; (b) a measure of its degree of success; (c) a measure of its impact within the sector or field of the project. The number of activities listed here should be the same as in Part 2.

<b>Activity</b>	<b>Start</b>	<b>Interim</b>	<b>Completed</b>
Activity 1:			
<i>Indicators:</i>			
Of completion			
Of Success			
Of Impact			
Activity 2:			
<i>Indicators:</i>			
Of Completion			
Of Success			
Of Impact			
<i>(Use additional rows if needed)</i>			

**Part 8: Budget Proposal/Justification of Expenditure:**

Please provide a list of all budget items along with a statement of the activities they will be related to, and a teaching/learning related justification for their inclusion in the proposal. Equipment purchases should include detailed generic specifications. Those purchases estimated to cost US\$15,000 or more will require individual justification, as will visiting professorships of more than one month's duration. Please group smaller items according to their purpose and provide the corresponding information. For instance, laboratory consumables and minor lab equipment may be grouped together and given a single justification.

<b>Item</b>	<b>Cost</b>	<b>Purpose (activities related to)</b>	<b>Justification</b>
<b>Total</b>	<b>US\$</b>		

## Annex C.8

### Submission Form Supplement for Entrepreneurial Projects

Name of Partnership firm:

Basic Characteristics of the Firm:

Number of Employees:

Main products:

Revenues:

Area of Proposed Collaboration:

Business Plan for Area of Proposed Collaboration (*optional*):

Detailed Description of Project Activities:

Implementation Schedule for Activities:

Budget:

Firm's Contribution toward Cost of Activities:

Expected Benefits from the Collaboration:

Cash Flow and Cost/Benefit Analysis:

Expected Non-Cash Benefits:

## Annex C.9

### Guidelines for Peer Reviewers

All reviewers will be provided with a copy of the Operations Manual of TALIF, a summary of the Government of Ghana (GOG) policy on tertiary education and a Peer Review Grading Form. Reviewers are advised to familiarize themselves with the contents of these documents in order to assist them in their reviews and scoring.

Reviewers will judge proposals on the set of criteria listed below on a five-point scale for each category, where “5” is excellent (highest score); “4” – very good; “3” – acceptable; “2” – questionable; and “1” – unsatisfactory.

Details of the expectations in each criterion and corresponding grades for each category are given below. Reviewers are expected to be familiar with this schedule and refer to it in their scoring.

1. **Academic Excellence:**

- To what extent will the proposed project sponsor teaching and learning to international levels of excellence for the field?
- To what extent are the topics chosen appropriate areas of inquiry, current, or cutting edge by the standards of the field?
- Do the capabilities, academic credentials, professional experience and productivity records of the individuals involved with the project indicate a team capable and likely to perform at a high level of academic quality?

Score	Proposal Characteristics
5	Highest internationally comparable level of teaching or research; cutting edge in subject matter and pedagogic methodology.
4	Excellent academic quality; very up-to-date and relevant subject matter and pedagogy.
3	Thoroughly acceptable subject matter and pedagogy.
2	Subject matter and pedagogy only partially developed.
1	Inadequate coverage or treatment of subject matter; poor pedagogy.

2. **Technical Quality:**

- Is the proposal comprehensive and well developed/designed?
- Are the issues appropriate and well thought through?
- Are the resources well matched to the needs?
- Are the scope and focus too broad or narrow?
- Is the proposed mixture of teaching and research appropriate?
- Are the listed expected outcomes the likely expected outcomes?

<b>Score</b>	<b>Proposal Characteristics</b>
5	All aspects of the proposal are coherent and fully thought through; all elements of the design are well integrated; research activities well matched to courses and teaching; likelihood of success is high; all relevant information is included and explained in the proposal; budget matches project needs; items to be acquired are necessary for the project.
4	The project is well conceived and explained; activities are likely to lead to expected outcomes; all critical information included; research activities linked to teaching; budget and equipment are appropriate.
3	Design and planning are adequate, activities are matched to objectives; most critical information has been included in the proposal; contains appropriate research activities; budget is in line with project scope.
2	Project design not closely linked to objectives; project information missing; research objectives unrelated to goals; budget not matched to needs.
1	Design unrelated to objectives; research activities, equipment and budget not appropriate.

3. **Relevance to Ghana:**

- To what extent is the project relevant to current or likely future social and economic problems of Ghana?
- Will the project address or tackle an important Ghanaian social or economic development problem?

<b>Score</b>	<b>Proposal Characteristics</b>
5	The project focuses squarely on an immediate priority need of Ghana; the project may lead to new solutions to problems of immediate concern to Ghana.
4	The project will address a problem of obvious national or local importance to Ghanaian society.
3	The project will develop a new program and/or strengthen a field that is under-developed in the Ghanaian tertiary education system.
2	The Proposal is only weakly concerned with the relevance of the project to the Ghanaian situation.
1	The project is not relevant or appropriate to the Ghana tertiary education system and society.

#### 4. Skills Development:

- Will the project sharpen the relevance and skills content of an existing program or create a new program to fill an identified gap?
- Will the project produce graduates with skills sought by industry and employers of skilled labour in Ghana? (for example: (a) career-specific skills; (b) general skills such as communication, computer literacy, problem solving, workplace relations such as teamwork; (c) citizenship skills and values.

Score	Proposal Characteristics
5	Project proposal will produce graduates with skills that are demanded by the labor market and/or equip students and graduates with an increased level of competencies.
4	Project proposal will equip graduates with some improved skills and greater flexibility in adapting to workplace demands and environment.
3	The project proposal contains a degree of general skills acquisition activities.
2	The proposal contains few skills development activities.
1	The project contains no skills development activities.

#### 5. Efficiency:

- How will the project increase graduation rate and lead to a corresponding decrease in dropout rates?
- Does the proposal contain elements that will enhance the program in managing institutional resources more efficiently and effectively?
- Will the project, if properly executed, enable the institution to generate additional revenues?

Score	Proposal Characteristics
5	The proposal will greatly enhance the capacity of the institution to manage resources of academic program(s) more efficiently and effectively.
4	The proposal is likely to increase graduation rates through better grades and reduce dropout rates through elimination of poor grades.
3	The proposal, if properly executed, is likely to engender generation of additional revenues by the institution.
2	The proposal may marginally lead to efficiency; increased graduation rates or revenue generation.
1	The proposal will lead to none of the above objectives.

**6. Innovation:**

- Is the project innovative in design or subject?
- To what extent does it affirm the strategic plans of the institutions?
- Might it be a model with an important “demonstration effect” for changes at other tertiary education institution

<b>Score</b>	<b>Proposal Characteristics</b>
5	Extremely innovative, new project which could be imitated if successful with important implications for teaching impacts in the Ghanaian tertiary education system.
4	Substantially innovative, likely to have a demonstration effect on its institution.
3	Moderately innovative, may have some demonstration effect on its department.
2	Only a few minor innovative aspects.
1	Not at all innovative.

**7. Greater Access:**

- Will the project eventually lead to channels of greater access to academic programs by school leavers and adult learners already in the workplace?
- Will the project enable the institution to respond to the pressures and opportunities of greater access without compromising academic standards and quality?
- Does the proposal contain elements that seek to encourage women’s employment to academic positions?

<b>Score</b>	<b>Proposal Characteristics</b>
5	The proposal contains elements of lecture delivery, student/faculty interaction, and assessment that will lead to greater access by students to academic programs without compromising academic quality.
4	The proposal will lead to greater access but may reduce academic quality marginally.
3	The proposal may not lead to greater access but has elements that seek to encourage women’s employment into academic positions.
2	The proposal has marginal elements that might lead to small gains in access.
1	The proposal has no potential to increase access or to encourage women’s employment into academic positions.

**8. Education Policy:**

- Will the project contribute directly to the achievement of the government's policy goals for tertiary education?

<b>Score</b>	<b>Proposal Characteristics</b>
5	Project will make a major contribution to the attainment of government policy goals for tertiary education as well as to national development possibilities.
4	Project will make a significant contribution to the attainment of government policy goals for tertiary education.
3	Project will make some contribution to the attainment of government policy goals for tertiary education.
2	Project may make a modest contribution to the attainment of government policy goals for tertiary education.
1	Project will make little direct contribution to the attainment of government policy goals for tertiary education.

**Annex C.10**

**Proposal Scoring Form**

Project Title:.....

Sub-category:.....

Funding Window:.....

Academic Discipline:.....

Reviewer's Number .....

Reviewer's Name (Optional):.....

<b>Criteria</b>	<b>Score</b>	<b>Weight</b>	<b>Comments (please use additional sheets if need be)</b>
Academic Excellence		20%	
Technical Quality		20%	
Relevance to Ghana		20%	
Skills Development		10%	
Efficiency		10%	
Innovation		10%	
Access		5%	
Education Policy		5%	

**Date:** \_\_\_\_\_

**Total Score:**

## Annex C.11

### Sample Work Plan for TALIF

Calls for proposals will be every six months. The following activities will be expected.

Month 1: The TU produces, publishes and disseminates TALIF Call for Proposals for a funding cycle.

Month 3: Deadline for Submission of Proposals

Month 4: Pre-qualification check of all Proposals by TCC.

PRC review of all campus proposals; makes funding decisions on proposals under \$20,000.

PRC/TC forward all proposals above US\$20,000 to the TU.

TU logs in proposals, creates evaluation packets, and forwards the received proposals to ARP members for their assessment.

Month 5: Funding recommendations on proposals sent by ARP to TEC for funding confirmation.

TEC selects projects for grant awards, based on rankings and overall funding balance with regard to project objectives. Defines policy/priorities for next round of Call for Proposals.

Award notification letters prepared by TU, approved by the Executive Secretary of the NCTE, and sent to awardees for signature.

Month 6: Performance Agreements for the next cycle of projects completed.

Adverts on Calls for Proposals are published and disseminated to start off the next funding cycle.

(cycle continues as outlined above)

**Annex C.12: Table of Allocations.**

**DRAFT: INDICATIVE ONLY.**

		Year 1	Year 2	Year 3	Year 4	Year 5	TOTAL
Annual Share (%)		10	25	25	25	15	100
Annual, Total \$m.		3.1	7.7	7.7	7.7	4.6	31.0
Assumed Small Project Average Cost (\$): \$15,000							
Approximate no. of small projects		70	70	70	70	70	350
Total Allocations to small projects (\$m) (PRCs)		1.05	1.05	1.05	1.05	1.05	5.25
Large Projects: assumed Av. Cost per Project-year: \$80,000							
Number of large projects in progress each year		37	112	112	112	62	
Total Allocations to Large Projects (\$m)		2.95	8.95	8.95	8.95	8.95	34.75
Total no of large Projects (average duration 1.5 yrs)							291
<b>Window</b>	<b>% Share</b>	<b>\$m</b>	<b>\$m</b>	<b>\$m</b>	<b>\$m</b>	<b>\$m</b>	<b>\$m</b>
1. Polytechnic	36.0	1.1	2.8	2.8	2.8	1.7	11.2
2. Postgraduate	22.0	0.7	1.7	1.7	1.7	1.0	6.8
3. Leadership, Management	10.0	0.3	0.8	0.8	0.8	0.4	3.1
4. HIV/AIDS	4.0	0.1	0.3	0.3	0.3	0.2	1.2
5. Distance Education	8.0	0.2	0.6	0.6	0.6	0.5	2.5
6. Tertiary Support Institutions	7.5	0.2	0.6	0.6	0.6	0.3	2.3
7. UDS	12.5	0.4	1.0	1.0	1.0	0.5	3.9
<b>TOTAL</b>	<b>100.0</b>	<b>3.0</b>	<b>7.8</b>	<b>7.8</b>	<b>7.8</b>	<b>4.6</b>	<b>31.0</b>

## **Annex C.13**

### **Tables for Objectives, Activities Procedures and Outcomes of TALIF Sub-components**

**Table T1(a). TALIF: Sub-component (i): Polytechnic Programmes - General Summary**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
Improving the quality of teaching and learning in Polytechnic programmes (2.2.1); sharpening the quality and relevance of Polytechnic programmes (2.2.2).	<ul style="list-style-type: none"> <li>• Staff technical training, postgraduate education, industrial experience.</li> <li>• Development of industrial links for student placement</li> <li>• Improvement of Polytechnic curricula and delivery methods; <i>Development of Competency-Based Training (CBT)</i></li> <li>• Improvement of textbook, library and workshop resources</li> <li>• Enhancement of the status of the polytechnic sector</li> </ul>	<ul style="list-style-type: none"> <li>• Initial proposals drafted within departments or groups of departments as appropriate.</li> <li>• Proposal initially checked by TALIF Campus Co-ordinator (TC).</li> <li>• Small (&lt;\$20,000) projects can be approved internally by Proposal Review Committee (PRC).</li> <li>• Larger projects forwarded to TALIF Unit (TU).</li> <li>• TU forwards proposal to relevant Academic Review Panel (ARP).</li> <li>• ARP makes recommendations for/against approval to TALIF Executive Committee (TEC).</li> <li>• Executive Secretary NCTE draws up contract.</li> <li>• TU, TC, Project proposer arrange signing of contracts.</li> <li>• TC, TU oversee performance monitoring of project.</li> </ul>	<ul style="list-style-type: none"> <li>(a) Polytechnics (Directors, Academic Boards and heads of departments and project directors)</li> <li>(b) Project directors, TALIF.</li> </ul>	<ul style="list-style-type: none"> <li>• More staff with postgraduate qualifications</li> <li>• Enhanced staff technical skills</li> <li>• Greater staff industrial experience</li> <li>• More visiting staff from industry</li> <li>• More student industrial placement</li> <li>• Programme innovation: disciplines, subject areas</li> <li>• Programme innovation: curriculum</li> <li>• Regional dimension: improved</li> <li>• Improved access to libraries, computer and workshop facilities</li> <li>• Improvement in perceived status of polytechnic sector</li> </ul>

Notes:

1. References in ( ) are to relevant paragraphs in TALIF Operations Manual
2. Responsibility: refers to preparation of submissions to TALIF, implementation of approved projects, reporting and accounting.
3. Management: refers to managing the project approval process, monitoring of current projects, collecting information on outcomes, assessing results.
4. The development of CBT (*italicised*) is being financed by JICA, which has produced a Master Plan for CBT in polytechnics. It is included here because of close links with EdSeP

**Table T1 (b). TALIF: Sub-component (i): Polytechnic Programmes - Specific Objectives and Outcomes**

Objective	Measures to be undertaken	Notes on specific actions and procedures (in addition to procedures in Table T1a)	EdSeP Outcomes: Project to specify contribution to the following:
1.1. Improve staff quality: update polytechnic staff technical skills	Organise short-term practical training (local and foreign).	<ul style="list-style-type: none"> <li>• Initial planning proposal (with possible consultancy) may be required to identify priority areas and suitable training institutions.</li> <li>• Candidates to be selected for training as part of a proposal to develop or improve polytechnic curricula.</li> </ul>	<ul style="list-style-type: none"> <li>• Target level of staff to acquire advanced technical skills (250 overall)</li> <li>• Specific targets for new or priority areas</li> </ul>
1.2. Improve staff quality: strengthen academic qualifications of polytechnic staff	Promote staff acquisition of postgraduate degrees (local and foreign).		<ul style="list-style-type: none"> <li>• Target level for staff qualifications. (40% postgraduate - 20% with postgraduate degrees at present)</li> <li>• Specific targets for new or priority areas</li> </ul>
1.3. Improve staff practical skills and industrial experience	Programmes for attachment of staff to local industries for periodic practical training (may involve Industrial Liaison Officers).	<ul style="list-style-type: none"> <li>• Prior appointment of Industrial Liaison Officers is required.</li> <li>• Could be institution-wide industrial liaison project, or part of project for specific areas of study.</li> </ul>	<ul style="list-style-type: none"> <li>• Targets for staff industrial experience (10% per year, 40% by end of programme).</li> <li>• Improvement in practical skills of graduates.</li> </ul>
1.4. Development of stronger industrial links: student placements, visiting staff (see also objective 1.3)	Appointment of Industrial Liaison Officers (ILOs) who will be responsible for programmes of educational/ industrial exchanges, student industrial placements.		<ul style="list-style-type: none"> <li>• Improvement in practical skills of graduates (see also objective 1.5).</li> <li>• Targets for industrial Placement in selected Polytechnic courses.</li> </ul>

**Table T1 (b) – continued**

Objective	Measures to be undertaken	Notes on specific actions and procedures (in addition to general procedures in Table T1a)	EdSeP Outcomes: Project to specify contribution to the following:
1.5. Improvement and up-dating of polytechnic curricula and delivery methods	Redesign, review and update existing polytechnic curricula and their delivery	<ul style="list-style-type: none"> <li>• Initial Liaison between NABPTEX, COPP and professional bodies</li> <li>• Curricular improvement packages to be drawn up by polytechnics</li> <li>• Curricular improvements to be combined with staff training requirements (1.1 to 1.3) for funding submission.</li> </ul>	<ul style="list-style-type: none"> <li>• All courses to be reviewed over 5 years.</li> <li>• Decisions to be made and implemented: (a) major updating; (b) minor changes; (c) discontinued.</li> <li>• Each polytechnic to have a part of its strategic plan that gives strategy on innovation in delivery methods.</li> </ul>
1.6. Improvement of graduate skills: Polytechnic graduates do not have sufficient practical skills	Introduction of Competency Based Training (CBT) into Polytechnic Programmes in conjunction with JICA	<ul style="list-style-type: none"> <li>• Hire CBT experts to develop materials, and train teachers in CBT methodology.</li> <li>• Select disciplines and teachers for CBT pilot programmes.</li> <li>• Develop wider range of programmes following on pilot</li> <li>• <u>NOTE: JICA financed and listed because of complementarity with EdSeP.</u></li> </ul>	<ul style="list-style-type: none"> <li>• Significant improvement in practical skills of Polytechnic graduates.</li> </ul>
1.7. Improvement of Inadequate library, textbook, workshop manual and training equipment	Programme for improved curriculum, skills acquisition etc., to include upgrading of textbook, workshop manual and training equipment	<ul style="list-style-type: none"> <li>• Polytechnics to integrate requests into their submissions for curricular improvement and delivery where appropriate.</li> <li>• Polytechnics may identify a general requirement for and institution's library and workshop facilities as part of submission to TALIF.</li> </ul>	<ul style="list-style-type: none"> <li>• Significant improvement in instructional, learning equipment to reinforce curriculum developments.</li> <li>• Improved access to computers</li> </ul>
1.8. Enhancement of the standing of the sector: TVET has poor image and status	Information campaign related to TVET improvements. This can reinforce the impact of the improvements and the effectiveness of the project	<ul style="list-style-type: none"> <li>• TALIF funded programmes which have been evaluated as successful to be eligible for small grants to fund information and publicity.</li> <li>• Use of : media encounters, open days, TV, Video materials, school liaison, etc</li> </ul>	<ul style="list-style-type: none"> <li>• An improved status and image for the Polytechnic sector</li> <li>• Improved intake of high-calibre applicants as evidence of this improvement</li> </ul>

**Note:** Small project proposals must demonstrate a relation to at least one of objectives 1.1 to 1.5, and 1.7. Larger project proposals should relate to at least three of these objectives. Project proposals under 1.8 may be sought in respect of institutions which have completed or made substantial and successful progress with major projects.

**Table T2 (a). TALIF: Sub-component (ii): University Postgraduate Programmes – General Summary**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
<p>To improve University postgraduate education: (i) enhancing quality and increasing efficiency of existing programmes; (ii) developing new and relevant programmes. (2.1., 2.2.3, and 2.2.4)</p>	<ul style="list-style-type: none"> <li>• Improve academic staff qualifications, and update staff skills.</li> <li>• Increase output from existing postgraduate programmes where priorities have been identified.</li> <li>• Initiate postgraduate programmes in new priority areas.</li> </ul>	<ul style="list-style-type: none"> <li>• Initial proposals drafted within departments or groups of departments as appropriate.</li> <li>• Proposal initially checked by TALIF Campus Co-ordinator (TC).</li> <li>• Small (&lt;\$20,000) projects can be approved internally by Proposal Review Committee (PRC).</li> <li>• Larger projects forwarded to TALIF Unit (TU).</li> <li>• TU forwards proposal to relevant Academic Review Panel (ARP).</li> <li>• ARP makes recommendations for/against approval to TEC</li> <li>• TEC forwards decision to Executive Secretary, NCTE for drawing up of contract.</li> <li>• TU, TC, Project proposer arrange signing of contracts.</li> <li>• TC, TU oversee performance monitoring of project.</li> </ul>	<p>(a) Universities (Vice-chancellors, Deans of Research or Postgraduate studies, Academic/Faculty Boards, heads of departments and project directors) (b) Project directors, TALIF.</p>	<ul style="list-style-type: none"> <li>• Significant increase in total postgraduate output</li> <li>• Increase in number of postgraduate students per programme</li> <li>• Reduction in time taken to complete Doctoral degrees</li> <li>• Increase in ratio of annual output to stock of students, especially in Doctoral programmes</li> <li>• Improvements in programme quality</li> <li>• New programmes in relevant and priority areas</li> <li>• Improved staff qualifications</li> <li>• Improvement in staff skills and experience.</li> </ul>

Notes:

1. References in ( ) are to relevant paragraphs in TALIF Operations Manual
2. Responsibility: refers to preparation of submissions to TALIF, implementation of approved projects, reporting and accounting.
3. Management: refers to managing the project approval process, monitoring of current projects, collecting information on outcomes, assessing results.

**Table T2 (b). TALIF: Sub-component (ii): University Postgraduate Programmes – Specific Objectives and Outcomes**

Objective	Measures to be undertaken	Notes on specific actions and procedures (in addition to general procedures in Table T 2 a)	EdSeP Outcomes: Project to specify contribution to the following:
2.1. To improve academic staff qualifications: especially proportion with PhD.	<ul style="list-style-type: none"> <li>Increase postgraduate output, in particular the output of graduates suitably qualified for University and Polytechnic academic staff positions.</li> </ul>	<ul style="list-style-type: none"> <li>Universities to undertake all possible supporting measures in aid of effective staffing (opportunities for income generation, cost sharing, effective management of resources).</li> </ul>	<ul style="list-style-type: none"> <li>Increase in number of Masters and Doctoral graduates</li> <li>Increase in the proportion of tenured staff having doctoral degrees</li> </ul>
2.2 To decrease significantly the level of academic staff vacancies (at present ranging from 30% to 50%) by increasing the supply of high-quality personnel.			<ul style="list-style-type: none"> <li>Target reduction in the vacancy rate to 20% or less by 2008</li> </ul>
2.3 To attain a more balanced staff age-profile among academic staff.			<ul style="list-style-type: none"> <li>Target increases in proportion of tenured staff aged &lt; 40</li> </ul>
2.4 To improve the quality, efficiency and relevance of postgraduate programmes.	<ul style="list-style-type: none"> <li>Universities to submit proposals for improvement of existing postgraduate programmes.</li> <li>Universities to submit proposals for new or rationalised postgraduate programmes.</li> </ul>	<ul style="list-style-type: none"> <li>Universities to ensure that their Strategic Plans are formulated in a way which addresses postgraduate developments and priorities.</li> <li>NCTE to discourage unnecessary duplication of University postgraduate programmes.</li> </ul>	<ul style="list-style-type: none"> <li>Target levels for average number of graduate students per programme</li> <li>Indicators for number of new and discontinued programmes</li> </ul>
2.5 To develop new postgraduate programmes in priority areas.			<ul style="list-style-type: none"> <li>New programmes be so measured in relation to University strategic plans</li> <li>Other indicators to be devised</li> </ul>

**Table T2 (b) – continued**

<b>Objective</b>	<b>Measures to be undertaken</b>	<b>Notes on specific actions and procedures (in addition to general procedures in Table T 2 a)</b>	<b>EdSeP Outcomes: Project to specify contribution to the following:</b>
2.6 To reduce delays in completing research degrees and associated research projects.	<ul style="list-style-type: none"> <li>Universities to identify constraints on research degree completion as part of their submissions to TALIF</li> </ul>		<ul style="list-style-type: none"> <li>Indicators of completion time for postgraduate degrees to show reductions.</li> <li>Indicators or ratio of annual awards to stock of students in graduate programmes to show increases.</li> </ul>
2. 7. To improve dissemination of research results.	<ul style="list-style-type: none"> <li>Universities to develop policies for effective dissemination of all research undertaken by staff, whether as part of university-funded research programmes or consultancy-based research (where legally possible)</li> </ul>	<ul style="list-style-type: none"> <li>Universities to implement a policy whereby all research undertaken by staff is made available in conventional or electronic libraries.</li> </ul>	<ul style="list-style-type: none"> <li>Development of database on (a) national (b) international refereed journal publications</li> <li>Development of other specific dissemination measures as appropriate</li> </ul>

Note: Small project proposals must demonstrate a relation to at least one of objectives 1.1 to 1.5, and 1.7. Larger project proposals would relate to at least three of these objectives. Project proposals under 1.8 may be sought in respect of programmes or institutions which have completed or made substantial and successful progress with major projects.

**Table T3 (a). TALIF: Sub-component (iii): Leadership and Management in Tertiary Institutions – General Summary**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
<p>To enhance the capacity of tertiary education institutions in respect of leadership and vision, managerial capabilities, MIS and ICT plans and their implementation, and other administrative and support activities.</p>	<p>Tertiary institutions may make specific proposals for management training. NCTE, with agreement of Vice-chancellors and/or Directors may draw up proposals for system-wide developments, especially in MIS and ICT areas.</p> <p>Training programmes and related investments will be subject to standard reporting and other requirements to TU.</p>	<ul style="list-style-type: none"> <li>• Initial proposals drafted by Vice Chancellor's or Director's office in conjunction with Development and Planning officer, Chief Finance Officer, etc. Proposal initially checked by TALIF Campus Co-ordinator (TC).</li> <li>• Small (&lt;\$20,000) projects can be approved internally by Proposal Review Committee (PRC).</li> <li>• Larger projects forwarded to TALIF Unit (TU).</li> <li>• TU sends proposal to NARC for assessment, and forwards NARC recommendation to TEC for information.</li> <li>• TU, TC, Project proposer arrange signing of contracts.</li> <li>• TU, NCTE oversee performance monitoring of project.</li> <li>• The Executive Secretary NCTE draws up contract.</li> <li>• NCTE-led system proposals: NCTE would initiate proposals: Tertiary institutions also involved, and TC, PRC kept informed.</li> </ul>	<p><u>Institutional Proposals</u></p> <p>(a) Vice-chancellors/ Directors, Development Officers, Finance Officers, etc</p> <p>(b) NCTE, TALIF</p> <p>Or</p> <p><u>System (NCTE-led) Proposals</u></p> <p>(a) NCTE, Institutions</p> <p>(b) TALIF</p>	<ul style="list-style-type: none"> <li>• Qualitative: enhanced leadership leading to more effective institutional planning and implementation.</li> <li>• Enhanced management and administrative structures and capacity, especially in relation to implementing institutional strategic plans.</li> <li>• Enhanced information flows within institutions and to NCTE.</li> </ul>

Notes:

1. Responsibility: refers to preparation of submissions to TALIF, implementation of approved projects, reporting and accounting.
2. Management: refers to managing the project approval process, monitoring of current projects, collecting information on outcomes, assessing results.

**Table T3 (b). TALIF: Sub-component (iii): Leadership and Management in Tertiary Institutions – Specific Objectives and Outcomes**

Objective	Measures to be undertaken	Notes on specific actions and procedures (in addition to general procedures in Table T 2 a)	EdSeP Outcomes: Project to specify contribution to the following:
3.1 To improve institutional management structures with a view towards effective implementation of institutional strategic plans ( 1-4).	<ul style="list-style-type: none"> <li>• A review of existing management structures</li> <li>• Development of staff job descriptions and performance evaluation procedures</li> <li>• Development of appropriate new organisation and management structures</li> </ul>	<ul style="list-style-type: none"> <li>• Institutions to draw up terms of reference for potential consultants.</li> <li>• Institutions to submit review proposals to TALIF for funding.</li> <li>• Based on initial reports institutions to incorporate requests for funding into proposals to TALIF.</li> </ul>	<ul style="list-style-type: none"> <li>• Where appropriate, new management structures</li> <li>• Clear lines of responsibility</li> <li>• Comprehensive and rational job descriptions which aid the management process</li> <li>• Appropriate performance evaluation procedures.</li> </ul>
3.2 To develop adequate MIS within institutions and to develop institutional ICT plans (5-6).	<ul style="list-style-type: none"> <li>• Develop an institutional MIS and appropriate managerial structures for the MIS Function.</li> <li>• Integrate with NCTE for system MIS.</li> <li>• Develop an institutional ICT policy</li> <li>• ICT policy implementation: development of local and campus networks on a sustainable basis.</li> </ul>	<ul style="list-style-type: none"> <li>• Develop terms of reference for MIS and ICT consultants.</li> <li>• Institutions to collaborate with NCTE for systemic proposals where necessary.</li> <li>• Institutions to submit consultancy proposals to TALIF for funding.</li> <li>• Institutions to adopt MIS and ICT programmes as part of their strategic plans.</li> <li>• Institutions to submit MIS and ICT implementation proposals to TALIF for funding.</li> </ul>	<ul style="list-style-type: none"> <li>• MIS systems which facilitate internal management and administration.</li> <li>• MIS systems which facilitate NCTE in its responsibilities.</li> <li>• ICT which facilitates teaching, learning and research in institutions.</li> <li>• Institutional targets for improved student access to ICT facilities.</li> </ul>

**Table T3 (b) – continued**

Objective	Measures to be undertaken	Notes on specific actions and procedures (in addition to general procedures in Table T 2 a)	EdSeP Outcomes: Project to specify contribution to the following:
3.3 To develop leadership capacities and strategic vision for heads of institutions, senior staff, heads of departments, deans, council members (7-10, 12, 13).	<ul style="list-style-type: none"> <li>• Appropriate leadership training for management, Deans, Heads of Departments, Council members, Student representatives, TEWU leaders.</li> </ul>	<ul style="list-style-type: none"> <li>• In conjunction with Objective 3.1 initial training may qualify for TALIF support</li> <li>• Institutions should develop capacity to deliver in-house training to all but the most senior levels.</li> </ul>	<ul style="list-style-type: none"> <li>• Institution’s capacity to implement policies and plans enhanced.</li> <li>• Change is seen as desirable and necessary rather than to be resisted.</li> </ul>
3.4 To develop and upgrade professional and technical skills of administrative and managerial staff (11).	<ul style="list-style-type: none"> <li>• Short courses and seminars.</li> <li>• Professional courses and certification.</li> </ul>	<ul style="list-style-type: none"> <li>• Funding proposals for objective 3.2 (MIS/ ICT) may incorporate items under 3.4 also.</li> </ul>	<ul style="list-style-type: none"> <li>• Institution has adequate technical support staff.</li> <li>• Institutional programmes not delayed or disrupted by critical skills shortages.</li> <li>• Institutions do not have undue dependence on agency or external consultancy staff due to internal staff shortcomings.</li> </ul>
3.5 To Improve Financial Management.*	<ul style="list-style-type: none"> <li>• Short Training courses.</li> <li>• Professional courses and enhanced staff qualifications.</li> </ul>	<ul style="list-style-type: none"> <li>• This should be seen as a prerequisite for 3.5 and 3.6.</li> </ul>	<ul style="list-style-type: none"> <li>• Adequate staff skills in the financial, budgeting and cost-recovery areas.</li> <li>• Institutions to increase cost-recovery and income generation each year according to strategic plan targets.</li> <li>• Institutions prepared to implement developments in cost recovery as specified in ESP.</li> </ul>
3.6 To develop internal Budgeting procedures, and operationalise formula funding (ref NCTE)*.	<ul style="list-style-type: none"> <li>• Prior staff training and specialised short courses.</li> <li>• NCTE seminars.</li> </ul>	<ul style="list-style-type: none"> <li>• Funding proposals for objective 3.2 (MIS/ ICT) may incorporate items under 3.6 also.</li> </ul>	
3.7.To enhance income generation and cost recovery*	<ul style="list-style-type: none"> <li>• Ensure that Institution’s Strategic Plan identifies and addresses issues adequately</li> <li>• Provide necessary training, seminars.</li> </ul>	<ul style="list-style-type: none"> <li>•</li> </ul>	

**Table T3 (b) – continued**

Objective	Measures to be undertaken	Notes on specific actions and procedures (in addition to general procedures in Table T 2 a)	EdSeP Outcomes: Project to specify contribution to the following:
3.8 To develop effective Quality Assurance procedures within institutions (14)	<ul style="list-style-type: none"> <li>A Quality Assurance Unit to be established within each institution which would (a) give appropriate training to new academic staff and (b) regularly evaluate programmes and departments.</li> </ul>	<ul style="list-style-type: none"> <li>Initial short programme introducing QA issues to staff.</li> <li>Institutions to draw up detailed QA proposals with the aid of TALIF funds. International best practice should be incorporated.</li> </ul>	<ul style="list-style-type: none"> <li>All departments and programmes to be assessed regularly (eventually on a five-year cycle: by 2010).</li> </ul>

Notes:

1. In the Funding Proposal prepared by Prof. D A Akyeampong and Ms Abena D Oduro (“Funding Proposals for Institutional and System Management in Tertiary Education”), sixteen activities have been listed in the matrix table of activities to be undertaken. These are all included in Table T3, but the several activities have been consolidated. The activities consolidated are referred to by numbers in parentheses in the first column.
2. Two elements of the original proposals for Polytechnic development (sub-component (i)) have been moved to sub-component (iii) – Leadership and Management in Tertiary Institutions. These relate to (a) Leadership Training and (b) Management information systems. See Dr George Afeti and Prof. D Mireku-Gyimah (“Funding Proposal Polytechnic and Postgraduate Education”), pages 12 to 14.
3. \*Objectives 3.5 to 3.7 Derive from items recommended in the study by Kingsley Adu, Ethel Amenumey and K J Opoku-Afriye: “Sustainable and Equitable Financing for Tertiary Education.
4. Small proposals must relate to at least one of the objectives 3.1 to 3.8. Large proposals (> \$20,000) must relate to at least three.

**Table T4. TALIF: Sub-component (iv): HIV/ AIDS Prevention – General Procedures**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
<ul style="list-style-type: none"> <li>• 4.1 To slow the spread of HIV and AIDS at all levels of the academic community.</li> <li>• 4.2 To promote better quality and more comprehensive counselling for all these affected, whether directly or indirectly.</li> </ul>	<ul style="list-style-type: none"> <li>• Obtain reliable information on incidence and prevalence.</li> <li>• Enhance and complement existing publicity campaigns.</li> <li>• Train AIDS counselors. (departmental staff, health centre staff).</li> <li>• Develop and maintain an adequate corps of student peer counselors.</li> <li>• Integrate HIV/AIDS topics into academic programmes where appropriate.</li> </ul>	<ul style="list-style-type: none"> <li>• Initial proposals drafted by groups within tertiary institutions as appropriate.</li> <li>• Proposal initially checked by TALIF Campus Co-ordinator (TC).</li> <li>• Projects reviewed by PRC and forwarded to TALIF Unit (TU).</li> <li>• TU forwards proposal to Review Committee (NARC).</li> <li>• NARC makes recommendations for/against approval to TEC.</li> <li>• Executive Secretary NCTE draws up contracts.</li> <li>• TU, TC, Project proposer arrange signing of contracts.</li> <li>• TCC, TCU oversee performance monitoring of project.</li> <li>• Note that all proposals (including) those &lt;\$20,000 are passed to PRC for approval, as the PRC has the necessary professional knowledge, experience and co-ordinating capacity.</li> </ul>	<ul style="list-style-type: none"> <li>(a) Student representative bodies, University officers, Health and student welfare centers.</li> <li>(b) Health and Welfare services, TALIF.</li> </ul>	<ul style="list-style-type: none"> <li>• A halt to increase in HIV incidence by 2006/7.</li> <li>• Institutions to have comprehensive HIV/AIDS policies fully operational by end 2004.</li> <li>• Staff issues: sick leave and other entitlements to be clarified.</li> <li>• All first year students to get comprehensive and intensive advice at beginning of academic year.</li> <li>• Targets for rapid accessibility to counseling.</li> </ul>

**Table T5. TALIF: Sub-component (v): Capacity building for Tertiary Distance Education – General Procedures**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
5. The development of professional competencies for operating and managing Distance Education programmes	<ul style="list-style-type: none"> <li>• Development of management and Budgeting skills for DE</li> <li>• Short courses for (e.g.) Course design, content, presentation, student evaluation, student record keeping, ICT in Distance learning</li> <li>• Preparation of DE programmes for teacher education and upgrading.</li> </ul>	<ul style="list-style-type: none"> <li>• Initial proposals drafted within departments or groups of departments as appropriate.</li> <li>• Proposal initially checked by TALIF Campus Co-ordinator (TC).</li> <li>• Small (&lt;\$20,000) projects on Management, budgeting and record-keeping can be approved internally by Proposal Review Committee (PRC).</li> <li>• Larger projects and those involving DE-specific skills forwarded to TALIF Unit (TU).</li> <li>• TU forwards proposal to relevant Review Panel.</li> <li>• PRC makes recommendations for/against approval to TEC</li> <li>• Executive Secretary draws up contract</li> <li>• TU, TC, Project proposer arrange signing of contracts.</li> <li>• TC, TU oversee performance monitoring of project.</li> </ul>	(a) Academic Departments, DE officers (b) NCTE/ TALIF	<ul style="list-style-type: none"> <li>• DE plans and programmes to be well-designed and cost-effective.</li> <li>• Tertiary sector to be capable of responding to national DE needs and plans.</li> <li>• Teacher upgrading programmes to be ready for implementation by 2005.</li> </ul>

**Table T6. TALIF: Sub-component (vi): Capacity building for Tertiary System Supervisory Institutions – General Procedures**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
<p>5.1 To achieve an appropriate division of labour and links between institutions.</p> <p>5.2 To develop the internal structures of the institutions.</p> <p>5.3 To develop and implement MIS for system institutions.</p> <p>5.4 Improvement of staff quality and performance.</p> <p>5.5 Establishment of policy research capacity.</p> <p>5.6 Establishment of documentation centers.</p> <p>5.7 Improvements in institutional governance.</p>	<ul style="list-style-type: none"> <li>• Clarifying and defining institutional roles, staff structures</li> <li>• Identifying changes required in institutional roles, staff structures</li> <li>• Staff training (i) short-term professional (ii) short term technical (especially ICT, MIS) (iii) short-term staff exchanges (local, international)</li> <li>• Development of inter-office computing, network links with public tertiary institutions, internet connections and access to online journals</li> <li>• Development of reference libraries</li> <li>• Acquisition of desktop publishing, storage and retrieval facilities</li> </ul>	<ul style="list-style-type: none"> <li>• Initial proposals drafted within institutions groups of institutions as appropriate.</li> <li>• Project proposals forwarded to TALIF Unit (TU).</li> <li>• TU forwards proposal to Special Independent Review Committee (SIRC).</li> <li>• SIRC makes recommendations for/against approval to TEC</li> <li>• Executive Secretary NCTE draws up contract.</li> <li>• TU, Project proposer and Chief Director MOE arrange signing of contracts.</li> <li>• TC, TU oversee performance monitoring of project.</li> </ul>	<p>(a) Supervisory Institution Councils, executives</p> <p>(b) TU, executives</p>	<ul style="list-style-type: none"> <li>• Improved organisation structures</li> <li>• Staff who have required professional qualifications.</li> <li>• Improved system management capacity and performance</li> <li>• Development of research capabilities</li> <li>• Publication and dissemination of research reports and system information</li> <li>• Significantly enhanced innovation Capacity</li> </ul>

**Table T7. TALIF: Sub-component (vi): University for Development Studies – General Procedures**

Objectives	Measures to be undertaken	Procedures (General Summary)	(a) Responsibility (b) Management	Expected Outcomes
<p>Details yet to be finalised: reference will be made to the UDS Strategic Development Plan</p>	<p>To be added.</p>	<ul style="list-style-type: none"> <li>• Initial proposals drafted within departments or groups of departments as appropriate.</li> <li>• Proposal initially checked by TALIF Campus Co-ordinator (TC).</li> <li>• Small (&lt;\$20,000) projects can be approved internally by Proposal Review Committee (PRC).</li> <li>• Larger projects forwarded to TALIF Unit (TC).</li> <li>• TU forwards proposal to relevant Academic Review Panel (ARP).</li> <li>• ARP makes recommendations for/against approval to TEC Executive Secretary NCTE draws up contract.</li> <li>• TU, TC, Project proposer arrange signing of contracts</li> <li>• TC, TU oversee performance monitoring of project.</li> </ul>	<p>(a) UDS (Vice-chancellor, Deans Academic / Faculty Boards, heads of departments and project directors)</p> <p>(b) Project directors, TALIF.</p>	<p>To be added.</p>

## **Annex C.14**

### **TALIF Unit (TU)**

#### **Management Needs for Tertiary Component**

##### **Professional Staff:**

1. TU: Masters Degree, Senior Lecturer or Equivalent, 10 years teaching/research experience.
2. TALIF Officer (Polytechnics, UDS, Distance sub-components)
3. TALIF Officer (Postgraduate Programmes, HIV/AIDS)
4. TALIF Officer (Management and Training – tertiary and system institutions)
5. Procurement Trainer
6. Project Accountant

**Secretarial/support staff:** Two persons with good word-processing and spreadsheet skills.

##### **Equipment and Facilities**

1. Office space for the above.
2. Room for meetings: use of NCTE Conference Room
3. Office furniture: 8 desks, 8 filing cabinets, 24 chairs
4. Computers (minimum 8)
5. Website Costs: setup and maintenance.
6. Electricity Costs
7. Telephone Costs
8. Office supplies, stationery
9. Travel: Domestic
10. Travel: Foreign

**ANNEX C.15: PERFORMANCE AGREEMENT**

NATIONAL COUNCIL FOR TERTIARY EDUCATION (NCTE)

(WORLD BANK CREDIT: .....)

**PERFORMANCE AGREEMENT**

*Between*

***NATIONAL COUNCIL FOR TERTIARY EDUCATION***

*And*

.....[name of institution].....

***Agreement No:***

\_\_\_\_\_

***Title of Sub-Project:***

\_\_\_\_\_

***Total Grant Amount:***

\_\_\_\_\_

***Date:***

\_\_\_\_\_

**PERFORMANCE AGREEMENT  
FOR THE IMPLEMENTATION OF  
TEACHING AND LEARNING INNOVATION FUND**

THIS PERFORMANCE AGREEMENT IS ENTERED INTO THIS ..... day of ..... 20 ..... BETWEEN THE NATIONAL COUNCIL FOR TERTIARY EDUCATION, acting by and through its duly authorized representative (hereinafter referred to as “PARTY A”) of the one part AND (Name of the Department/School/Faculty/Unit from which the proposal originates) acting by and through its duly authorized representative, of the other part, WHEREBY IT IS AGREED AS FOLLOWS:

- (a) Pursuant to the Development Credit Agreement N° XXXX (IDA Credit xxxx-GH) signed on the date of March xx, 2004 between the International Development Association – World Bank (WB) and the Republic of Ghana;
- (b) Pursuant to the Operations Manual on the implementation of the Teaching and Learning Innovation Fund (TALIF) approved by the National Council for Tertiary Education (NCTE) and the Minister of Education, Youth and Sports;
- (c) Pursuant to the TALIF Executive Committee meeting’s Minute approving Grant Awards to the successful applicants for Round X of the Teaching and Learning Innovation Fund, Window X, dated xx/xx/2004;
- (d) Pursuant to Decision No. .... On awarding grants to the successful applicants for TALIF awards dated .....; and
- (e) Based on the requirements and capacities of the three parties to this Agreement, the said parties shall undertake a co-operative venture to finance and implement the (*sub-project title*) at the (*name of institution*) in accordance with the terms and conditions stipulated in the following Clauses:

On this date, [*date*], in Accra, Ghana

**The three parties:**

**1. Party A:**

**NATIONAL COUNCIL FOR TERTIARY EDUCATION  
(EDUCATION SECTOR DEVELOPMENT PROJECT)**

Address:

Tel:

Fax:

Authorized by:

Position:

Bank Special Account Number:

**2. Party B:**

*[name of institution]*

Address:

Tel:

Fax:

Bank Account Number:

Represented by:

Position:

**3. Party C:**

Proposal Originator:

Represented by:

Address:

Tel:

Fax:

Email:

Sub-project title: ***“[proposal name]”***

Agreement No: \_\_\_\_\_

The three parties have agreed to enter into this Performance Agreement to undertake a cooperative venture to finance and implement the *[sub-project title]* at the *[name of institution]* with the provisions and conditions described in the following clauses:

## **Clause 1**

### **ASSIGNMENT AND SCOPE OF WORK**

- 1.1. PARTY A, in its capacity as the National Council for Tertiary Education and supervisor of the TALIF Implementation Unit (TU):
  - (a) awards a grant to PARTY B to carry out the TALIF Sub-project submitted by PARTY C in accordance with the provisions of this Performance Agreement. The contents of the Sub-project assignment are described in the TALIF Operations Manual approved by the National Council for Tertiary Education and the World Bank;
  - (b) confirms that the Sub-project Proposal (Annex 1), which is attached to this agreement, serves as the Terms of Reference for the TALIF Sub-project assignment, and forms an integral part of this legal agreement;
  - (c) approves the Sub-project implementation plan (Annex 3) submitted by PARTY C;
  - (d) will monitor, review, and evaluate PARTY B's administration and PARTY C's implementation of the Sub-project assignment with respect to the scope of work; and
  - (e) undertakes grant awarding procedures to Party B (Annex 2), which conform to the provisions and conditions in this Performance Agreement, Development Credit Agreement, NCTE Accounting Manual, and the TALIF Operations Manual.
  
- 1.2. PARTY B, in its capacity as the sponsoring institution for the approved TALIF Sub-project proposal:
  - (a) accepts the grant awarded by PARTY A for PARTY C to carry out the Sub-project;
  - (b) implements the Sub-project through the indicated Sub-project management team (PARTY C) and shall be responsible for providing to PARTY C, promptly as needed, the funds, facilities, services and other resources required for the Sub-project and assuring sustainability of the Sub-project throughout the implementation of this Agreement.
  
- 1.3. PARTY C, in its capacity as originator and implementer of the approved TALIF Sub-project proposal:
  - (a) implements the Sub-project with due diligence and efficiency, and in accordance with sound educational, scientific, technical, financial, and managerial standards and practices, aimed at achieving the objectives of TALIF within the strategic framework of the institutions and satisfactory to the International Development Association; and is responsible for reporting on the Sub-project implementation to PARTY A as stipulated in this Agreement;
  - (b) is responsible for providing to PARTY A the following Annexes: Annex-2 (Financing Plan), Annex-3 (Implementation Plan), Annex-4 (Procurement Plan), and Annex-5 (Training Plan) acceptable to PARTY A. Such information provided

by PARTY C will form an integral part of this Agreement. Any authorized modifications to these Annexes will likewise form an integral part of this Agreement.

## **Clause 2**

### **TIME FRAME**

- 2.1. This Agreement remains valid throughout the time specified in the Sub-project Implementation Plan. The Sub-project will be carried out within [XX] months, as specified in the Sub-project proposal. The implementation time begins from the date of the signing of this Performance Agreement.
- 2.2. If the implementation of the Sub-project is delayed for any reason, PARTY C must inform PARTY A and PARTY B in writing the reasons for the delay, and if necessary request an extension of the time allowed for implementation. PARTY C should not exceed the time period specified above, unless so authorized in writing by PARTY A.

## **Clause 3**

### **RESPONSIBILITIES OF PARTY A**

- 3.1. Evaluation of the Sub-project implementation performance of PARTY B and PARTY C will be made through reports required under Clause 4, which shall be quarterly in the case of financial reports and every six months in the case of progress reports. Such evaluation will be undertaken by PARTY A at the end of each phase of the Sub-project.
- 3.2. During the life of the Sub-project, PARTY A or its authorized representative may inspect at any time: goods and work sites under the sub-project, and any relevant documents and records for purposes of monitoring Sub-project implementation or conducting financial or technical audits (with or without representatives of the International Development Association).
- 3.3. PARTY A is responsible for providing the grant amount to PARTY B in accordance with this Performance Agreement and for fully complying with the provisions and conditions regulated in this Agreement.

## **Clause 4**

### **RESPONSIBILITIES OF PARTY B**

- 4.1 PARTY B is responsible for maintaining adequate financial records and accounts which conform to the financial accounting and procurement procedures governing TALIF Sub-project implementation and to international financial standards and norms. PARTY B is responsible for maintaining adequate documentation, records and reports relating to the procurement of goods or services and employment of consultants and other relevant

documents of the implementation of the Sub-project to enable PARTY A to acquire necessary information at any time, as required by PARTY A and the International Development Association for purposes of monitoring implementation of the Sub-project.

- 4.2. PARTY B is responsible for submitting to PARTY A a Final Financial Report on all the expenditures made over the entire period of the TALIF award (due within 30 days of the completion of all activities specified in this Agreement).

## **Clause 5**

### **RESPONSIBILITIES OF PARTY C**

- 5.1 PARTY C is responsible for the overall implementation and phasing of the Sub-project punctually in accordance with Annex 3 (Implementation Plan) and following the procedures laid out in Annex 2 (Financial Plan), Annex 4 (Procurement Plan) and Annex 5 (Training Plan).
- 5.2 PARTY C is responsible for submitting to PARTY A and PARTY B the following reports:
- (a) Not later than April 10 and October 10 of each year, six monthly Implementation Reports on Sub-project performance (in the format as stipulated by PARTY A from time to time) covering each preceding calendar six-month period on procurement, training, disbursement and monitoring of the Sub-project performance indicators (template issued by Party A).
  - (b) A Completion Report summarising all the operations implemented and the results achieved over the entire period of the Sub-project (due within two months of the completion of all activities specified in this Agreement).

## **Clause 6**

### **PROCUREMENT**

- 6.1 PARTY A shall provide to PARTY B the financial accounting and procurement procedures governing TALIF implementation which PARTY B shall strictly follow and be accountable for.
- 6.2 PARTY B is responsible for fulfilling the provisions and conditions in this Agreement.

## **Clause 7**

### **FINANCE**

#### **A. Implementation Cost and Financing**

- 7.1 The estimated total cost, excluding local taxes, of the Sub-project is USD \_\_\_\_\_, as approved by the TALIF Executive Committee.

- 7.2 Over the life of the Sub-project, PARTY A will provide to PARTY B a grant of up to USD \_\_\_\_\_ (Total Grant Amount), which represents 100% of the total cost of the Sub-project (of this amount, budget from IDA loan is USD \_\_\_\_\_, which represents 90%; and budget from Government accounts for USD \_\_\_\_\_, which represents 10%). PARTY A is not responsible for any tax liabilities arising from PARTY B's implementation of the Sub-project.
- 7.3 PARTY B is fully responsible for payment of all direct and indirect taxes and duties levied in respect of the Sub-project. Any funds provided by PARTY A to PARTY B cannot be used to pay any taxes or duties.**

## **B. Financial Management**

- 7.4. PARTY B is responsible for opening and maintaining a separate TALIF Cedis bank account, at a branch of the [name] Bank, to be used solely for purposes of receiving and disbursing Government funds provided by PARTY A for the Sub-project. This Account shall be maintained in Ghanaian currency, must be used exclusively for funds received from PARTY A, and must not be used for funds from any other source. Payments from this TALIF Special Account must be solely for the payment of eligible expenditures in accordance with the categories of eligible expenditure approved by PARTY A in accordance with this Agreement.
- 7.5 The financial records relating to the bank account referred to in Clause 7.4 above, and to the Sub-project income and expenditure accounts and book-keeping records described above, as well as the quarterly and annual financial reports described in Clause 4, may be subject to inspection by authorized independent auditors at any time, as required by PARTY A.
- 7.6 For the purposes of this Clause the following terms shall be used and applied in all cases including the settlement of disputes:
- (a) the term "eligible expenditure categories" means the categories set out below:
    - (i) Teaching equipment;
    - (ii) Instructional equipment;
    - (iii) Research equipment;
    - (iv) Classroom furniture;
    - (v) Computers and computer accessories;
    - (vi) Scientific journals and textbooks;
    - (vii) Vehicles (mini-buses) required for field work;
    - (viii) Minor civil works to modify existing buildings;
    - (ix) Consumable materials;
    - (x) Short- and medium-term training for the professional development of academics, doctoral students, and administrators;
    - (xi) International consultants and visiting scholars from overseas;
    - (xii) Local consultants;
    - (xiii) Overseas fellowships and internships;
    - (xiv) Local fellowships and internships;
    - (xv) Overseas study tours;

- (xvi) Local training;
  - (xvii) Institutional partnerships.
- (b) the term “eligible expenditures” means expenditures in respect of the reasonable cost of goods and services required for the Sub-project and financed in accordance with the grant procedures of this Agreement with regard to the eligible Categories of the Sub-project; and
- (c) the term “Performance Milestone Payment” means an amount stipulated by in Annex 2 (Financial Plan) that will be paid to PARTY B for use by PARTY C whenever specifically defined progress goals are achieved in the implementation of the Sub-project. This payment will be debited against the total grant payable under this agreement. It will be withdrawn from the Project Special Account maintained by PARTY A and deposited into the TALIF Special Account maintained by PARTY B pursuant to Clause 7.4 of this agreement.
- 7.7 After PARTY A has received evidence satisfactory to it that PARY B’s TALIF Special Account has been duly opened, disbursements to PARTY B shall be made as follows:
- (a) Milestone Payment 1 shall be made by the NCTE, as designated in Annex 2, upon receipt of an original copy of this Performance Agreement that has been duly signed by all three parties. In effect, the signed Performance Agreement shall constitute the Sub-project’s first request for payment.
  - (b) Subsequent milestone payments will be made, in the amounts indicated, against the achievement of the implementation goals contained in Annex 2. A simple letter to the Executive Secretary of the NCTE, signed by PARY B, attesting that the next consecutive performance milestone has been achieved by PARTY C, will constitute each successive request for payment under the Sub-project.
- 7.8 For each expenditure made by PARTY B out of its TALIF Special Account on behalf of PARTY C, PARTY B shall, at such time as PARTY A shall reasonably request, furnish to PARTY A such documents and other evidence showing that such payment was made exclusively for eligible expenditures.
- 7.9 For all expenditures from its TALIF Special Account, PARTY B shall:
- (a) maintain or cause to be maintained records and accounts adequate to reflect such expenditures in accordance with sound accounting practices;
  - (b) retain, until instructed otherwise by PARTY A, all records (contracts, orders, invoices, bills, receipts and other documents) evidencing such expenditures;
  - (c) enable PARTY A’s and the World Bank’s representatives to examine such records.
- 7.10 Notwithstanding the provisions of Clause 7.8, PARTY A shall not be required to make further deposits into the TALIF Special Account maintained by PARTY B:
- (a) if PARTY B shall have failed to furnish to PARTY A, within the period of time specified in Clause 4 of this Performance Agreement, any of the reports required to be furnished to PARTY A pursuant to said Clause;
  - (b) Thereafter, withdrawal from the Project Special Account maintained by PARTY A of the remaining un-withdrawn amount of the grant under this Performance Agreement

allocated to the eligible Categories for the Special Account maintained by PARTY B, shall follow such procedures as PARTY A shall specify by notice to PARTY B. Such further withdrawals shall be made only after and to the extent that PARTY A shall have been satisfied that all such amounts remaining on deposit in the TALIF Special Account maintained by PARTY B as of the date of such notice will be utilised in making payments for eligible expenditures.

- 7.11 (a) If PARTY A shall have determined at any time that any payment out of the TALIF Special Account maintained by PARTY B:
- (i) was made for an expenditure or in an amount not eligible pursuant to Clause 7.4 and 7.6; or
  - (ii) was not justified by the milestone completion evidence furnished to PARTY A by PARTY B,

PARTY B shall, promptly upon notice from PARTY A:

- (i) provide such additional evidence as PARTY A may request; or
  - (ii) deposit into the TALIF Special Account maintained by PARTY B (or, if PARTY A shall so request, refund to PARTY A) an amount equal to the amount of such payment or the portion thereof not so eligible or justified. Unless PARTY A shall otherwise agree, no further deposit by PARTY A into the TALIF Special Account maintained by PARTY B shall be made until PARTY B has provided such evidence or made such deposit or refund, as the case may be.
- (b) If PARTY A shall have determined at any time that any amount outstanding in the TALIF Special Account maintained by PARTY B will not be required to cover further payments for eligible expenditures, PARTY B shall, promptly upon notice from PARTY A, refund to PARTY A such outstanding amount.
- (c) PARTY B may, upon notice to PARTY A, refund to PARTY A all or any portion of the funds on deposit in the TALIF Special Account maintained by PARTY B.
- (d) Refunds to PARTY A made pursuant to Clauses 7.11 (a), (b), and (c) shall be credited to the Project Special Account maintained by PARTY A. Their subsequent withdrawal or cancellation shall be determined by PARTY A.

## **Clause 8**

### **SUB-PROJECT ASSETS AND SERVICES**

- 8.1 Goods and services purchased under this Performance Agreement shall be used exclusively for the purpose of carrying out the Sub-project.
- 8.2 All books and journals procured under the Sub-project must be registered in line with the coding system of the institution's library for overall management purposes.
- 8.3 All goods and equipment purchased under this Performance Agreement shall become the property of PARTY B and shall be registered in its inventory.

- 8.4 Any intellectual property produced in the course of research or experimentation conducted under an approved TALIF proposal, whether these be products, techniques, or services, will belong to the tertiary institution that sponsors and hosts the respective TALIF proposal. The institution may share or cede these benefits to third parties, including the proposal originator(s), in accordance with prevailing institutional norms.

## **Clause 9**

### **SUSPENSION AND TERMINATION**

- 9.1 This Performance Agreement may be suspended or terminated prior to completion in the following cases:
- (a) PARTY B fails to comply fully with the regulations governing TALIF implementation, the requirements of Development Credit Agreement, or responsibilities assigned under this Agreement. PARTY A, based on the level of violation by PARTY B, shall give a written decision on suspension or termination of this Agreement before completion.
  - (b) If delay in the TALIF Sub-project implementation of PARTY B is due to unforeseen factors such as natural disaster or climatic conditions, earthquakes, fires, war, or any unexpected situations beyond human capacity, and these situations are certified to be the direct reasons for the delay or obstacle to the implementation of the Sub-project and PARTY B has tried alternatives to overcome these situations, the provisions and conditions regulated in this Clause may not be applied provided that PARTY B should inform PARTY A in writing, at most fourteen (14) days after the occurrence of such events, of the reasons and the applied alternatives, and should inform PARTY A as soon as possible after the situation has returned to normal.
- 9.2 Delay or failure in the implementation of this TALIF Sub-project due to mistakes, errors or negligence on the part of PARTY C will be taken into account in assessment of any future TALIF Sub-project proposals submitted by PARTY B.

## **Clause 10**

### **SETTLEMENT OF DISPUTES**

- 10.1 Any dispute arising out of this Performance Agreement shall, if at all possible, be settled through consensus ensuring mutual benefits.
- 10.2 If the dispute cannot be resolved on the basis of consensus, the dispute shall be referred to arbitration/adjudication in accordance with the existing laws and regulations in Ghana. The settlement decision shall be final and binding on all parties.**
- 10.3 Any fees and other related charges incurred in settlement of disputes shall be borne by the losing party.

**Clause 11**  
**OTHERS**

- 11.1 The terms and conditions of this Performance Agreement may be reviewed at the request of either Party after the start of implementation of the TALIF Sub-project. Any modifications of the contents of this Performance Agreement must be agreed upon by all Parties and in writing.
- 11.2 Any regulations relating to the Sub-project implementation not covered by this Performance Agreement shall be followed by the two parties in accordance with Development Credit Agreement and existing laws in Ghana.
- 11.3 This Performance Agreement comes into effect and will be considered valid and binding on all parties on the date of signing by all parties.

Attached to this Performance Agreement are the Annexes referred to in Clause 1 of this Agreement which form an integral part of this Agreement.

IN WITNESS WHEREOF the duly authorized representatives of the parties hereto have hereunto set their hands the day and year indicated in the preamble to this agreement.

SIGNED FOR AND ON BEHALF OF PARTY A] (Details of the NCTE)] in the presence of :-]	Name, Signature & Title of Duly Authorized Representative of Party A
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SIGNED FOR AND ON BEHALF OF PARTY B (Details of the Institution)] in the presence of:-]	Name, Signature & Title of Duly Authorized Representative of Party B
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SIGNED FOR AND ON BEHALF OF PARTY C] (Details of the Dept./Faculty/School etc.) making the proposal in the presence of:-]	Name, Signature & Title of Duly Authorized Representative of Party C
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**Annex 1**

**Approved TALIF Proposal**

(to be attached here)

## Annex 2

### Financial Plan

#### PERFORMANCE MILESTONES AND DISBURSEMENT SCHEDULE

	<u>Cedis Payment</u>	<u>U.S. Dollar Amount Reserved for Project</u> <sup>1</sup>
Milestone #1: Upon signature of this Agreement	[amount]	[amount]
Milestone #2: [to be defined]	[amount]	[amount]
Milestone #3: [to be defined]	[amount]	[amount]
Milestone #4: <i>(if necessary)</i>		

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<sup>1</sup> This amount represents payments to be made in foreign exchange for international equipment purchase, training, or other approved expenditures requiring foreign currency. These payments will be made by the NCTE accountant against approved invoices submitted by Party C (the proposal originator).



## Annex 4 – Procurement Plan

### PROCUREMENT AND IMPLEMENTATION SCHEDULE: CONSULTANCY SERVICES

SN									TERMS OF REFERENCE		REQUEST FOR EO/CV				SELECTION			
	DESCRIPTION	PROCURE- MENT METHOD	LUMPSUM/ CONTRACT	BUDGETED AMOUNT USD	PRIOR/POST REVIEW	PROCURING UNIT	PLAN VS.	ADVERT. AND SPN	SUBMIT DATE	APPROVE DATE	PREPARE DATE	SUBMIT DATE	EVALUATION DATE	INTERVIEW/ NEGOTIATION DATE	REQUEST DATE	APPROVAL DATE	CONTRACT SIGNING DATE	DELIVERY LATEST DATE
							ACTUAL											
1							Plan											
							Actual											
2							Plan											
							Actual											
3							Plan											
							Actual											
4							Plan											
							Actual											
5							Plan											
							Actual											
6							Plan											
							Actual											
7							Plan											
							Actual											
8							Plan											
							Actual											
9							Plan											
							Actual											
10							Plan											
							Actual											
<b>TOTAL</b>																		

**Notes:**

*n.a. => not applicable*

**Procurement and Implementation Schedule: Goods and Equipment**

									LIST AND SPECIFICATIONS		BIDDING DOCUMENTS/ORDER						
DESCRIPTION	LOTS	PACKAGE IFB NOS.	PROCURE- MENT METHOD	ALLOCATED AMOUNT USD	PRE / POST QUALIFICA- TION	PRIOR / POST REVIEW	PROCURING UNIT	PLAN VS. ACTUAL	SUBMIT	APPROVE	PREPARE	SUBMIT	EVALUATION	AWARD	CONTRACT	CONTRACT	DELIVERY
									DATE	DATE	DATE	DATE	DATE	DATE	AMOUNT USD	SIGNING DATE	LATEST DATE
Computers	1							Plan									
								Actual									
Printers	2							Plan									
								Actual									
Photocopiers	3							Plan									
								Actual									
Teaching Equipment	4							Plan									
								Actual									
Office furniture	5							Plan									
								Actual									
<b>TOTAL</b>																	

**Note:**

*n.a. => not applicable*



## **ANNEX C.16**

### **TALIF CAMPUSES**

#### **Universities**

1. University of Ghana (Main Campus)
2. College of Health Sciences, University of Ghana, Korle-Bu
3. University of Cape Coast (Main Campus)
4. Kwame Nkrumah University of Science and Technology (KNUST) – (Main Campus)
5. Western University College of KNUST –Tarkwa
6. University of Education, Winneba (Winneba Campus)
7. University for Development Studies (Nyankpala Campus)

#### **Polytechnics**

8. Accra Polytechnic
9. Bolgatanga Polytechnic
10. Cape Coast Polytechnic
11. Ho Polytechnic
12. Koforidua Polytechnic
13. Kumasi Polytechnic
14. Sunyani Polytechnic
15. Takoradi Polytechnic
16. Tamale Polytechnic
17. Wa Polytechnic