

## ESPA Governance bodies – Terms of Reference

### Definitions

The following definitions are provided as an aid to the interpretation of ESPA's governance and associated Terms of Reference.

<u>Term</u>	<u>Definition</u>	<u>Responsibility</u>
Strategic (Programme)	Setting the high-level purpose and expected outcomes of ESPA. Ensuring that ESPA meets the needs of its funding agencies. Agreeing the high-level modes of operation for the programme, including all major grants calls and initiatives	Programme Executive Board, with advice provided by the Directorate, Programme Management Unit and International Programme Advisory Committee.
Strategic (Implementation)	Setting the high-level strategies adopted by the ESPA programme to deliver ESPA's purpose and objectives as set by PEB and documented through ESPA's Logical Framework.	Split Responsibilities: ESPA Director, reporting to PEB, with advice provided by the Programme Management Unit and International Programme Advisory Committee for all matters excluding the operational aspects of ESPA's main grants calls.  ESPA Programme Management Unit for strategic guidance on the operational aspects of main ESPA main grants calls.
Strategic (External Environment)	Placing ESPA's work in the wider international context for both research and its use.	Jointly: ESPA Director PEB I-PAC
Operational Activities	The activities required to deliver the purpose and objectives for the ESPA programme. This is the level of management of resources which are devolved activities with reporting lines indicated.	<b>ESPA Secretariat</b> for the management of ESPA's main calls, reporting to PEB through the Business Assurance Manager. <b>NERC's Business Assurance Manager</b> reporting to PEB for the oversight of the Directorate's contract. The <b>Directorate's Operations Manager</b> for delivery of the Directorate's programme of work, reporting to the ESPA Director and indirectly to PEB, through the Director and PMU

## **1. Programme Executive Board (PEB)**

### **Purpose**

1. Responsible for the delivery and strategic direction of the Programme, ensuring it achieves its stated objectives and meets the strategic needs of the funding partners.

### **Composition**

#### ***Decision-making***

2. **Funding Partners:** represent the interests of each of the funders NERC, ESRC and DFID and essentially act as the Senior Responsible Officer (SRO) for their organisation. Each funding partner will nominate one member and (one deputy who may perform another function within the ESPA Governance). Only funding partners have decision-making authority, and the attending members must be senior staff with sufficient delegated authority to take the necessary decisions at meetings.

#### ***Non-decision making***

3. **PEB Chair:** facilitates partners to steer ESPA's strategic direction with minimal conflict of interest.
4. **Senior User(s):** those who have an interest in using the final outputs of the programme but do not have a financial stake, e.g. Defra international policy and Chair of ESPA's International Programme Advisory Committee and DFID policy; role would be providing advice, not decision making.
5. **Senior Supplier:** those who have responsibility for carrying out the decisions of the PEB, e.g.
  - *Director;* role would be reporting and advising to PEB, but does not have a role in the decisions made by PEB.
  - *Business Assurance Manager:* NERC programme manager responsible for ensuring delivery; role would be reporting, not decision making

### **Operation**

6. The PEB will agree frequency of meetings at its first meeting, bearing in mind more frequent meetings may be required during the establishment of ESPA and when funding calls are planned
7. Urgent matters arising between meetings may be dealt with on a "no-objection" basis by email within a specified period of time (to be agreed by PEB). This process will be facilitated by the ESPA Secretariat. When it is not possible to reach agreement by email, the PEB Chair will be asked to assist the funding partners to reach a decision by consensus.
8. There will be an annual meeting to monitor and evaluate progress after reviewing the Directorate's Annual Report and workplan.
9. The Programme Management Unit (PMU) will advise the Chair on the agenda and provide necessary reports.
10. The Secretariat functions for the Programme Executive Board will be carried out by the ESPA Secretariat at NERC.

11. If the (lack of) availability of the chair would prevent a meeting being held to the required schedule, then a NERC, DFID or ESRC member of the board will chair the meeting. If possible, this should be performed on a rotational basis between funding partners,

### **Functions and Powers**

1. To provide the strategic direction of the ESPA Programme
2. Strategic decision making – see annex A for table of responsibilities and delegated authorities
3. To oversee the performance and delivery of the Programme Management Unit .
4. Agree method and operation of the PEB, including its own rules about frequency of meetings, when PEB will be considered in quorum, etc.
5. Agree and approve timing, type and scope of calls to deliver Programme's objectives
6. Based on advice given, approve funding of proposals/activities as commissioned through the NERC/RCUK systems and processes
7. Agree and approve composition and TOR of the International Programme Advisory Committee (I-PAC)
8. Agree and approve TOR of Directorate and selection of its Director
9. Recruit and select Director
10. Oversee and appraise performance of the Director and Directorate
11. Agrees and monitors ESPA's work programme against programme memorandum, log frame, and Key Performance Indicators
12. Approve ESPA operational framework and procedures
13. Overall monitoring of ESPA budget and spend

### **Accountability**

14. The PEB will be accountable for the delivery of the programme's objectives to their respective funding bodies, through the respective Senior Executives

### **Terms and Conditions**

15. All member organisations will hold the position for the duration of the programme, except ex-officio members, who may change depending on the needs of the programme.

### **Dispute Resolution**

16. The PEB will seek to reach decisions by consensus. Where consensus cannot be reached the issue will be escalated to the Chairperson to mediate. Should this not be successful then this will be escalated to Senior Executives of the funding bodies as a point of last resort.

## **Chairperson of the PEB**

### **Purpose**

To facilitate the working of the Programme Executive Board (PEB) in an independent and impartial manner in order to enable its members to fulfil their responsibilities for the overall governance and strategic direction of ESPA

The Chairperson should be appointed through open competition, and assessed according to criteria set and agreed by the PEB.

The Chairperson can be asked to stand down from their position with all PEB members consenting to the decision.

The Chairperson can request information from the ESPA Secretariat in between PEB meetings

### **Main Functions**

1. Chair PEB meetings, facilitating partners to reach the best consensus-based decisions to ensure ESPA fulfils its purpose and objectives
2. Ensure ESPA decisions are relevant, implementable, time-bound and acted upon/implemented in line with ESPA purpose and outputs
3. Chair meetings involving performance assessment of the Director
4. Facilitate funding partners to undertake urgent actions in between PEB meetings, as necessary

### **Other Responsibilities**

5. Provide clarification of PEB decisions to the Director, if necessary
6. Agree the agenda for meetings in consultation with the PEB, the Directorate and the Secretariat
7. Ensure PEB members fulfil their responsibilities on the Board
8. Act as first point of contact for the Funding Partners, and liaising with them, for resolving any issues of dispute
9. When requested, represent ESPA at functions, meetings and for corporate communication

### **Accountability**

10. The Chair will be accountable to the three funding organisations.

## **2. International Programme Advisory Committee**

### **Purpose**

1. The Programme Advisory Committee will provide independent advice to the ESPA Programme via the Director and PEB as required, in relation to strategic and technical aspects of the programme.

### **Composition**

2. The International Programme Advisory Committee will comprise at least eight expert members, to include a mix of leading, world-class scientists, researchers and experts and will comprise representative(s) from, for example, academia, research institutions, governments, UN agencies, private sector and civil society. At least 50% of the members should be from the South, with an appropriate geographical spread of expertise that is a reflection of the Programme Investments.
3. There will be an open call for members of the International Programme Advisory Committee. Final selection and appointment will be made by the Programme Executive Board.
4. The Funding Partners of the Programme Executive Board will sit on the International Programme Advisory Committee as observers.
5. The International Programme Advisory Committee may be co-chaired by a developed country representative and a developing country representative.
6. As far as possible, a member's expertise should include knowledge and experience in, natural and social sciences and/or for development practitioners the application of knowledge to link environmental processes and human development. A strong track record in at least one area is required as well as experience of interdisciplinary working in the key fields of ecosystem services, natural resources, environmental management and development issues.
7. Members will serve in a personal capacity but may the constituencies of which they are part, where relevant and appropriate.

### **Operation**

8. The Committee will normally meet twice annually (autumn and early summer), but more frequent meetings may be required during the first year of implementation of the ESPA programme. Where possible and desirable, meetings will be virtual/video-conferenced. One of the two annual meetings (summer) will coincide with the Annual PEB Retreat such that I-PAC members have the opportunity to meet with PEB at least once a year.
9. By exception, Committee members may also be approached individually or collectively for advice outside meetings.
10. The Secretariat function for the International Programme Advisory Committee will be carried out by the ESPA Directorate.
11. I-PAC meeting agendas will be set by the Director, in consultation with the PEB, PMU and I-PAC (Co-)Chair(s).

## Functions

12. The functions of the International Programme Advisory Committee will be to advise the Director and the Programme Executive Board in the following ways:
- i. provide oversight of the programme's delivery by reviewing the relevance, quality and coherence of the programme;
  - ii. review and provide advice on the programme's research and impact strategies and ensure they respond to relevant needs and demands of developing countries as well as those of the Funding Partners;
  - iii. provide advice on the content of calls for proposals;
  - iv. review key outputs and outcomes from ESPA, including review of ESPA's annual report to provide advice to PEB on the value and relevance of the programme;
  - v. provide advice on knowledge exchange opportunities, research into use dimensions and research communications;
  - vi. provide advice on other knowledge needs that could be commissioned via smaller scale reviews, studies, consultation processes or investigations in consultation with the Directorate, as it may determine are needed;
  - vii. provide advice to the Directorate and PEB on other relevant initiatives and processes;
  - viii. facilitate contact with other initiatives or individuals where appropriate;
  - ix. To act as Ambassadors for the ESPA programme, with guidance from the ESPA Directorate ahead of specific events/meetings where this role would be valuable;
  - x. other matters that the Directorate and/or Programme Executive Board may request or delegate.

## Accountability

13. The members of the International Programme Advisory Committee will be accountable to the Programme Executive Board, through the Director

## Terms and Conditions

14. Members of the Committee will be appointed for two years, with the possibility of renewal.
15. Estimated time requirements: 5 – 6 days per year for the Chair and 5 days per year for members (perhaps more in first year).
16. Travel expenses and accommodation for the Committee will be covered and a reasonable honorarium will be paid, where appropriate, per day of work.
17. Each member will be subject to "a conflict of interest" review by the Directorate, and each member must provide a declaration of any potential,

real or perceived conflicts of interest. Final determination of suitability to be a member will rest with the Programme Executive Board.

18. Members may be asked to stand down from the I-PAC if they are unable to attend two or more consecutive meetings.

### **3. Programme Management Unit**

#### **Purpose**

1. Responsible for the overall management, coordination and delivery of the Programme. The PMU consists of the Programme Management Group, the Secretariat, a business assurance role and the Directorate.

#### **Operation**

2. The PMU will meet every 6-8 weeks, as arranged by the Directorate
3. The Directorate will provide the secretarial support for the PMU meetings
4. The Agenda will be jointly set by PMG, Directorate and Secretariat
5. Meetings will be alternatively chaired by the Directorate and PMG members.

#### ***3a. Programme Management Group (PMG)***

#### **Composition**

6. three members – one representative from the three funding partners, with the authority to make decisions at the level of operation of the PMG.

#### **Operation**

7. The PMG will meet as necessary as an independent unit, but otherwise should attend the 6-8 weekly PMU meetings.
8. At independent meetings of the PMG (which can be called on an ad hoc basis), the PMG will be chaired on rotating basis between the three funding partners.

#### **Functions and Powers**

9. Oversee the ESPA operational framework, including managing the operations of the PMU.
10. Decision making authority on operational and non-strategic matters.
11. Make recommendations to the PEB on strategic matters and others as arising through the Business assurance manager.
12. Provide direction to grant applicants on amendments to solicited research proposals, based on expert advice received via external reviews, expert groups, assessment panels, and the Directorate. Agree and approve composition of any expert panels convened for peer review

#### **Accountability**

13. The PMG will be accountable to the PEB.

#### **Terms and Conditions**



14. Members Funders will ensure they each assign an individual to the ESPA PMG, and that this position is filled for the duration of the programme (not necessarily by the same individual).

### **3b. ESPA Secretariat**

#### **Composition**

1. Senior Science Programmes Officer(s)  
and/or
2. Science Programmes Officer(s)

#### **Operation**

3. The Senior Science Programmes Officer(s) and Science Programmes Officer(s) will be part-time.
4. The Secretariat will be supported by the following service teams within NERC RCUK and the Shared Business Services Ltd.
  - a. Finance – financial management and reporting and including audit functions
  - b. Contracting and Procurement – responsible for the procurement of goods and services for all the Research Councils
  - c. Joint Electronic Submission (Je-S) System – electronic system used to create proposals to be sent to the RC's, peer review proposals, project reporting
  - d. RCUK Research Outcomes Systems for project-level reporting
  - e. Research Grants Team – processing and issuing of grants received through Je-S
  - f. Admin support – as and when needed for meetings, travel and accommodation bookings
  - g. Communications – assistance with Programme launch and finale meetings, and publicising ESPA activities where appropriate

#### **Functions and Powers**

5. liaison and information sharing (on grants, budget, reporting etc) with Director and his/her staff
6. liaison with NERC internal service teams (finance, grants, Je-S, procurement, reporting, communications, admin, etc)
7. provide Secretariat for PEB meetings (instigate and work with Director to formulate agenda and agree authorship of meeting papers, compiling, quality control and distributing papers, logistics, taking minutes, monitoring progress on actions)
8. provide Secretariat for PMG meetings.
9. provide advice on administrative and legal procedures for calls (to Director and community)
10. following agreement by PEB on call content and process, coordinate publication of calls and peer review process (checking eligibility, broad remit check, assignment of peer reviewers and proposing moderating panel)

members in consultation with the PMG, logistics for peer review, sending out feedback, coordinating award of grants on advice of PEB)

11. contact for post-award queries for grants administered through NERC, and admin from researchers and NERC internal teams (extensions, virement of funds, staff changes, budget profiling etc. i.e. will consult with Director on issues affecting the research)
12. coordinate award final reporting through Je-S
13. records management of key documents

### **Accountability**

14. The Senior Science Programmes Officer(s) and Science Programmes Officer(s) will be responsible to NERC's Business Assurance Manager for ESPA.

### **Terms and Conditions**

15. The Secretariat will be hosted by NERC.
16. The fulfilment of individual roles within the Secretariat will be the responsibility of the host organisation.
17. The Secretariat will be employed on the project for the duration.

These Terms of Reference will form the basis of a Service Level Agreement between the Secretariat and Director, to be appended to the Director contract, to ensure clarity in responsibility and level of service the Director may request from the Secretariat.

### **3c. Business Assurance Manager:**

#### **Composition**

1. A senior member from the organisation responsible for delivering the programme. For NERC this would be a Science and Innovation Manager (SIM), or delegated representative.

#### **Operation**

2. The Business Assurance Manager will be part-time, accounting for ~0.2 FTE.

#### **Functions and Powers**

3. manage the Directorate's contract and terms and conditions of service on behalf of the PEB
4. Provide advice and guidance to the Secretariat and Directorate on operational and day-to-day management issues.
5. manage Secretariat staff and ensure delivery of PEB instructions to Secretariat
6. accountable for ensuring effective and good management of the ESPA budget
7. provide written/verbal updates on specific items at PEB meetings (i.e. relating to the above) in collaboration with the Director at the PEB's request

8. day-to-day management of ESPA budget

### Accountability

9. The Business Assurance Manager will be responsible to the Programme Executive Board.

### Terms and Conditions

10. The Business Assurance Manager will be hosted by NERC.
11. The fulfilment of the role will be the responsibility of the host organisation.
12. The Business Assurance Manager will be employed on the project for the duration.
13. The Business Assurance manager will be the NERC's representative on the PMG.

### 3d. ESPA Directorate<sup>1</sup>

#### Purpose

1. To plan, organise, lead and coordinate the ESPA implementation process, through coordinating ESPA research and impact activities and undertaking additional activities that will add value to the Programme.

#### Composition

2. The Director will oversee the Directorate and provide overall scientific leadership of the programme.
3. The Director will provide strategic advice on the implementation of the ESPA programme.
4. The Director will have a number of support staff as required. These may include:
  - one or more **research associates/fellows** who lead and participate in cross-programme integrative activities;
  - an impact **officer**, or similar, with specific responsibility for engaging users to get the ESPA research into practice and inform research about use;
  - a **communication officer**,
  - a **project manager** and assistant responsible for implementing management plans, reporting and communication strategies and financial planning for the directorate budget.
  - clerical support, web support, technical support for data management and reporting as necessary

#### Operation

5. The Director, and the function of the Directorate, will be under contract to the organisation managing the funds on behalf of the partners.

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<sup>1</sup> The Directorate including the Director

6. Any other staff employed within the Directorate will be contracted by the Directorate host organisation.

## **Functions and Powers**

### ***The Director:***

7. The Director will operate as the *de facto* head of ESPA, albeit under the authority of the PEB - The exception being in the area of direct financial management, which rests with NERC.
8. The Director will provide overall intellectual leadership of the programme, maintaining an oversight of the range of research and activities funded by ESPA, including ESPA's research into use and capacity building activities, and ensuring progress against delivery of the programme's purpose and objectives.
9. The Director will lead the development and implementation of strategies for the programme (e.g. Knowledge, Impact, Communications) that are approved by the PMU (and if required PEB) and designed to deliver the programme's purpose and objectives.
10. The Director will submit to the PEB a programme management plan including the objectives, milestones and deliverables for the Directorate. This will be updated on an annual basis.
11. The Director will be responsible for providing a 'bigger picture' view of the research being undertaken on ecosystems services and linkages to poverty alleviation (ESPA research and beyond ESPA), and to identify ongoing and emerging gaps and continuing research challenges, with a view to advising on the scope of future ESPA funding calls.
12. The Director will maintain an international profile and contacts with relevant international partners, fora, networks and processes, and to work with these contacts to promote synergies with related international activities, including those in developing countries.
13. The Director will maintain a strong international publication profile for ESPA in the field of science and development covered by ESPA, based principally on ESPA Directorate's activities.
14. The Director will represent ESPA, where required, in a wide variety of national, regional and international research, policy and public for a.
15. The Director will be responsible for ensuring that there is routine liaison between the Directorate and award holders (including a strategy for visiting project leaders as necessary) to provide reassurance to the PEB that individual projects are on schedule and meeting objectives.
16. The Director will maintain a high level oversight of scientific and financial management of projects (particularly for those projects not experienced in the project management requirements and expectations of the UK funders) and may commission external scientific or financial compliance reviews on behalf of the programme and funders.

17. The Director will be solely responsible for appropriately staffing the Directorate and maintaining overall responsibility and management of the Directorate budget and personnel, to ensure that it can deliver on its responsibilities and effectively manage the ESPA Programme to the satisfaction of the PEB;
18. The Director or a nominated member of the Directorate will attend PEB Meetings as a matter of course (except for certain agenda items which are funders only), reporting on the progress of ESPA, and providing further information and reporting as requested by the PEB.

***The Directorate:***

The Directorate will be responsible for:

Management and Governance.

19. Adhering to the principles of the NERC Governing and Managing Investments Policy, or acceptable equivalent, and adopting appropriate practices.
20. Developing a clear and effective Programme Impact plan, for approval by the PEB, and managing the implementation of this. The impact plan must define the beneficiaries and stakeholders for this programme, and provide a plan for engagement with all appropriate organisations and demonstrate how user needs will be met.
21. In conjunction with the PEB and Secretariat, producing and maintaining a risk assessment and management regime and work to manage/mitigate programme risks.
22. Providing effective project and financial management of all Directorate activities.
23. Working with the PEB to appoint an International Programme Advisory Committee (I-PAC) composed of scientists and experts of high standing in the relevant fields. [NB: The I-PAC membership will be approved by the ESPA PEB and the Programme Secretariat will oversee the administration of the peer review process for applications to ESPA].
24. Liaising with the I-PAC in order to provide strategic and independent, high quality advice on the implementation of ESPA.
25. Organising PAC meetings, as required, and engaging this group as needed to help in the process of evaluating proposals and progress.
26. Coordinating the portfolio of ESPA's activities, seeking synergies and added-value opportunities.
27. Developing and facilitating UK, regional and international programme links and collaborations.
28. Planning and delivering programme events, such as annual science meetings, workshops training courses, etc.

29. Working to minimise the Directorate's environmental impact [NB: While it is recognised that an international programme like ESPA will require international travel and other activities with associated environmental impacts, it is expected that the Directorate will work to minimise these impacts; for example, through the development and use of new communication mechanisms.]
30. Working with the Secretariat in maintaining a high-level oversight of the financial management of projects taking specific note of the challenges likely to be facing projects and/or project components led by southern organisations who are not familiar with the requirements of UK Research Council requirements, advising the Secretariat on any issues they become aware of, in relation to the proper management and disbursement of funds.

#### Data Management:

31. Developing a clear and effective data management plan, in collaboration with the appropriate designated data centres, which ensures the establishment of mechanisms for quality assurance of data and for the timely dissemination of data sets and models produced or compiled by ESPA activities; the plan will be reviewed and approved by the PEB.
32. Managing the implementation of the Programme Data Management plan and review and revise as appropriate.
33. Monitoring project adherence to the Programme Data Management Plan and ensuring that Principal Investigators submit data in a timely manner.

#### Reporting:

34. Ensuring that the key contacts within the Programme Management Unit are briefed and consulted about ESPA developments at frequent intervals; this includes responsibility for the provision of annual, mid-term and final programme reports.
35. The Directorate's Operational Manager will attend meetings of the Programme Executive Board and Programme Advisory Committee and providing reports, as requested.
36. Preparing and submitting programme progress reports and case studies to the PEB following required template and schedule.
37. Coordinate annual reporting of output and performance monitoring of awards using NERC's Research Outcome System (an electronic system), or equivalent systems that supersede this – The Directorate will extract the data and write the programme annual and six-monthly reports. These reports are used to capture highlights, publications, policy interactions etc.
38. Contribute to the assessment of project final reports as necessary, determining whether they are satisfactory, providing comments to the Programme Secretariat and the PEB as required.
39. Preparing and submitting to the PEB an end of programme report, following required template and schedule.

40. With assistance from the Programme Secretariat, ensuring that projects meeting their reporting requirements, through regular submissions (at least 6-monthly) to the RCUK Research Outcomes System (or any replacement) and completion of associated reporting templates for the Directorate and NERC.
41. Responding to Funder's requests for information in a timely manner where this is realistically possible and if not, negotiating alternative responses that can meet all or some of the Funder's requirements. When requests are likely to cause very significant demands on Directorate or project resources, the Directorate may refer the request and the Directorate's proposed response to the PMU for comment and decision before additional work is agreed.

#### Monitoring and Evaluation:

42. Leading on developing and maintaining a monitoring framework (based on the logical framework<sup>2</sup> and logchart), in conjunction with the Secretariat and based on ESPA PEB oversight and agreement.
43. Contributing to and facilitating any programme and/or project evaluations or audits required.
44. Monitoring progress of individual projects against agreed milestones and deliverables and facilitating collaboration.
45. Participating as required in the mid-term and final independent evaluations of ESPA.
46. Commissioning external scientific or financial compliance reviews of selected ESPA projects as agreed by PMU (who may refer the decision to PEB for comment).

#### Liaison:

47. Maintain contact with members of the Programme Management Unit, Programme Executive Board and International Programme Advisory Committee.
48. Maintain regular contact with all programme participants (visiting a selection of projects and regions each year) and act as main contact point, providing direction to the research community on matters related to ESPA's science, capacity building, uptake and impact-related activities.
49. Liaise with the LWEC Directorate team as required.
50. Work with the PEB and I-PAC, to identify and help secure potential sources of co-funding for individual research projects.
51. Advise on the development of Announcements of Opportunity / Invitations to Tender for Programme research activities for approval by the PEB and subsequent issuance by the Programme Secretariat; work with successful applicants to modify proposals as recommended by the moderating panels and by the PEB.

#### Promotion and Communication:

<sup>2</sup> <http://www.nerc.ac.uk/research/funded/programmes/espa/espa-programme-plan.pdf>

52. Developing the Programme Communication Strategy and plan for approval by the PEB; implementing and periodically reviewing the plan.
53. Developing and maintaining an ESPA website that facilitates communication with and between the ESPA communities and other interested parties.
54. Publicising the Programme outputs and outcomes in the most appropriate manner (with support from funders' Press Office teams).
55. Undertaking public engagement activities (perhaps with support from the funders' Communications teams) as appropriate.
56. Producing appropriate Programme publications in various media, including user focused summaries/publications.
57. Working with the Programme Secretariat, PEB and funders' Communications teams to plan and deliver appropriate end-of-programme activities (event, publications, etc), highlighting the key findings and achievements of the programme.

#### Facilitating and promoting Research into Use:

58. Providing necessary advice and support to the ESPA programme on research into use.
59. Consolidating and expanding links with users of ESPA research, to help to put 'research into use', and to 'inform research about use'.
60. Actively communicating the latest ESPA research developments to users and policy makers.
61. Acting as a focus to develop potential collaborations and co-ordinating activities to take advantage of other funding opportunities to promote further research and knowledge exchange activities.
62. In collaboration with the ESPA PEB providing guidelines on the protection of intellectual property.
63. Inputting to public policy debates in order to highlight the contribution of a major research investment to important issues of public interest.

#### Supporting Capacity Building Processes:

64. Providing advice and support on relevant capacity building activities.
65. Developing a capacity building strategy and plan for ESPA, building on capacity building carried out in individual research projects and providing additional value added activities to maximise ESPAs capacity building objectives.
66. Developing a call (to be approved by the PEB) for an ESPA fellowships programme, and ensuring the full engagement of the successful fellows with the ESPA programme.
67. Providing direction to grant holders on, and engaging in, the fulfillment of ESPAs objectives on capacity building and research uptake and impact,



through the identification and engagement with relevant policy makers, practitioners and decision makers.

#### Integrative Research and Synthesis:

68. Contributing to the on-going development of the programme by identifying and proposing activities to the PEB that will fill significant research gaps and skills shortages, e.g. timely interdisciplinary analysis and modelling activities that add value to the programme's other activities; brainstorming sessions that facilitate the development of interdisciplinary working and research and/or activities that promote more effective information exchange between disciplines.
69. Identifying and addressing emerging research priorities, and engaging relevant sections of the community in collaborations.
70. Undertaking a series of international activities, such as policy and academic seminars, workshops, and hosted web debates, designed to convene people from different ESPA regions, with different ecosystem interests and perspectives, in pursuit of well-defined goals. Furthermore, will ensure follow-up activities are undertaken as needed to fully realize the workshops' aims.
71. Subject to intellectual property considerations and in consultation with the International Programme Advisory Committee, promoting and coordinating the exchange of ideas and information between project participants, other research based in UK, European, international and developing country programmes, and the user community to foster partnerships and to encourage a strong and integrated ESPA research community.
72. Organising regular (annual/biennial) science meetings that engage the principal investigators, co-investigators, postdoctoral research associates, ESPA Fellows and students funded through ESPA projects (if written into the original AO) in order to promote the exchange of information and ideas among different projects and activities.
73. As part of delivering these activities, the Directorate will be expected to establish and maintain an ESPA Forum which will be used to facilitate the development of interdisciplinary collaborative working, promoting a more effective exchange between the ESPA disciplines and relevant stakeholders.

#### **Accountability**

74. The Director's contract will be held by NERC and the Business Assurance Manager will manage the Director's contract and terms and conditions of service on behalf of the PEB.
75. The Director will ultimately be responsible to the PEB for delivery of his/her purpose and objectives.
76. Any other Directorate staff will be responsible to the Director.
77. The Directorate contract and performance will be appraised annually against the Programme Management plan, by a special meeting of the PEB, augmented by academic advisors if necessary.

#### **Terms and Conditions**

78. There will be an open call for this function, and the final decision for this role will be made by an Evaluation panel (in consultation with the PEB).
79. The Director can be a full- or part-time position, but must be 0.8FTE at a minimum.
80. The Directorate will be staffed at an appropriate level for the tasks involved and will be detailed in the tender by the Director/host institution.
81. The Directorate function will be contracted for the duration of the Programme.
82. If at any time the Director is unable to continue in the role, the host institution will be responsible for putting forward a suitable replacement candidate to the PEB.
83. If the host institution is unable to provide a suitable candidate to take over this role, the contract for the Directorate function may be terminated with the host institution.

Annex A: **Decision Making**

The following is intended to provide clarity on the decision making responsibilities for key individuals and structures within the ESPA programme:

<b><u>Individual/Structure</u></b>	<b><u>Decisions</u></b>	<b><u>Reporting Lines</u></b>
Programme Executive Board – funding partners	<p>PEB make decisions on all elements of the programme in terms of what is presented to it by the PMU. These can include:</p> <ul style="list-style-type: none"> <li>- Funding decisions for ESPA research grants rounds</li> <li>- The strategic direction of Directorate activities</li> <li>- Provide the strategic direction of the ESPA Programme</li> <li>- Decide on the timing, type and scope of research calls (as advised by directorate and Business assurance manager/ secretariat)</li> <li>- Changes to budget allocations of the central ESPA budget (held by NERC)</li> <li>- Appraisal of the Director and Directorate</li> <li>- Delivery of ESPA's work programme against programme memorandum, log frame, and Key Performance Indicators</li> </ul>	Each PEB member reports to their own organisation
ESPA Director	<p>The director is the de facto head of the ESPA programme, and has delegated authority to run the ESPA Directorate and its activities. The decisions that are the responsibility of the Director include:</p> <ul style="list-style-type: none"> <li>- The development and implementation of strategies for the programme (e.g. Knowledge, Impact, Communications)</li> <li>- Commissioning external scientific or financial compliance reviews on behalf of the programme and funders.</li> <li>- The staff composition of the Directorate</li> <li>- The commissioning process and scope of research grants administered through the Directorate (with advisement from PMU)</li> </ul>	The Director reports to PEB, to NERC, through their Business Assurance Manager and to the Board (or equivalent) of the organisation holding the Directorate contract.
NERC Business Assurance Manager	<ul style="list-style-type: none"> <li>- The activities of the ESPA Secretariat</li> <li>- The operational delivery of the programme, coordinating the functions of the Directorate and Secretariat.</li> <li>- Sanctions applied to ESPA Grants (in line with RCUK terms and conditions).</li> </ul>	The Business assurance Manager directly reports to NERC management and the ESPA PEB

	- The timeline for delivery of Grants rounds.	
ESPA Programme Management Group	- Operational and management issues for the programme	Reports to ESPA PEB and management of the respective funders
Directorate Operations Manager	Responsible for the successful operational delivery of the Directorate's programme of work, in line with the strategic decisions and goals set by the ESPA Director and the programme's funders.	Reports to the ESPA Director
ESPA Project Lead Principal Investigators	Decides upon the direction and delivery of their research grant (within the originally stated objected)	Reports to NERC, to the ESPA Directorate, and to their institution of employment
ESPA Project, Linked Principal Investigator	Decides upon the direction and delivery of their individual work package of the funded research grant (within the originally stated objected), in alignment to and under the advice and direction of the lead- PI	Reports to the Project Lead Principal Investigator, NERC, the ESPA Directorate and their institution of employment