THIS MEMORANDUM OF UNDERSTANDING (which expression shall include the Annexes) (**"MoU"**) is between the following parties (the **"Parties"**):

(1) **THE ANIMAL AND PLANT HEALTH AGENCY ("APHA")**

(2) **VETERINARY MEDICINES DIRECTORATE ("VMD")**

(3) **CENTRE FOR ENVIRONMENT, FISHERIES AND AQUACULTURE SCIENCE ("Cefas")**

(4) **DEPARTMENT FOR ENVIRONMENT, FOOD AND RURAL AFFAIRS** (**"Defra"**)

Background and Status of MoU

A. The Parties have agreed to work together on the Official Development Assistance Animal Health Systems Strengthening Project, as defined in this MoU.

B. This MoU establishes the responsibilities of the Parties and the general principles for their cooperation from 1st April 2022 to 31st March 2025.

C. This MoU is not intended to be legally binding or to create legal obligations or legal rights between the Parties. However, the Parties enter into this MoU intending to honour all their obligations.

The Parties have agreed to cooperate under this MoU as follows:

1. Interpretation

1.1. Unless the context otherwise requires:

1.1.1. references to this MoU must be construed as a reference to this MoU as varied or amended in accordance with its terms;

1.1.2. reference to a person includes a legal entity; and

1.1.3. words importing a gender include all genders and words importing the singular include the plural and vice versa.

1.2. "Confidential Information" means any information which has been designated as confidential by either Party in writing or that ought to be considered as confidential (howsoever it is conveyed or on whatever media it is stored) including information the disclosure of which would, or would be likely to, prejudice the commercial interests of any person or trade secrets or Intellectual Property Rights of either Party and all personal data within the meaning of the GDPR but does not include information which:

1.2.1. was public knowledge at the time of disclosure (otherwise than by breach of Clause 12 (Confidential Information));

1.2.2. was in the possession of the receiving Party, without restriction as to its disclosure, before receiving it from the disclosing Party;

1.2.3. is received from a third party (who lawfully acquired it) without restriction as to its disclosure; or

1.2.4. is independently developed without access to the Confidential Information.

1.3. "Data Protection Legislation" means (i) the GDPR, the Law Enforcement Directive (Directive (EU) 2016/680) and any applicable national implementing Laws as amended from time to time, (ii) the DPA 2018 to the extent that it relates to processing of personal data and privacy; and (iii) all applicable Law about the processing of personal data and privacy.

1.4. "DPA 2018" means the Data Protection Act 2018.

1.5. "GDPR" means the General Data Protection Regulation (Regulation (EU) 2016/679) and "Controller", "Personal Data" and Processor" have the meaning given to them in the GDPR.

1.6. "Intellectual Property Rights" means patents, utility models, inventions, trade marks, service marks, logos, design rights (whether registrable or otherwise), applications for any of the foregoing, copyright, database rights, domain names, plant variety rights, know-how, trade or business names, moral rights and other similar rights or obligations whether registrable or not in any country (including but not limited to the United Kingdom) and the right to sue for passing off.

1.7. "Key Objectives" means the key objectives of the Project as set out in the Business Case in Annex F.

1.8. "Law" means any law, subordinate legislation within the meaning of Section 21(1) of the Interpretation Act 1978, bye-law, enforceable right within the meaning of Section 2 of the European Communities Act 1972, regulation, order, regulatory policy, mandatory guidance or code of practice, judgment of a relevant court of law, or directives or requirements with which the relevant Party is bound to comply.

1.9. "MoU Representatives" means the lead representatives of each Party (one to be provided by each Party), as described in Clause 5.

1.10. "Principles" has the meaning set out in Clause 3.

1.11. "Project" means the project as described in Annex F.

1.12. "Oversight Board" means the board described in Clause 4.

2. Key Objectives for the Project

2.1. The Parties shall undertake the Project to achieve the Key Objectives.

2.2.[The Parties acknowledge that the current position with regard to the Project and the contributions already made (financial and otherwise) are as detailed in Annex D to this MoU.]

2.3. Each Party must use its best endeavours to secure any permissions, licences, consents or approvals needed for the Project.

3. Principles of collaboration and the Parties' responsibilities

3.1. The Parties agree to adopt the following principles (**"Principles"**) when carrying out the Project:

3.1.1. to collaborate and co-operate with each other. Establish and adhere to the governance structure set out in this MoU to ensure that activities are delivered and actions taken as required;

3.1.2. To work collaboratively via One Health approach to achieve the outputs and outcomes detailed in the theory of change (appendix E), with:

- APHA leading on risk analysis and epidemiology, laboratory strengthening and surveillance, disease control programme, workforce development, One Health and emergency preparedness
- VMD leading on regulation of veterinary medicine
- CEFAS leading technical advice
- DEFRA leading on coordination and PMO.

3.1.3. to be accountable to each other for performance of their respective roles and responsibilities as set out in this MoU;

3.1.4. to learn, develop and seek to achieve the full potential of the Project;

3.1.5. to share information, experience, materials and skills to learn from each other and develop effective working practices, work collaboratively to identify solutions, eliminate duplication of effort, mitigate risk and reduce cost;

3.1.6. to adhere to all statutory requirements and best practice (including any relevant Governmental protocols such as the Ministerial and Civil Service Codes). Comply with applicable laws and standards including EU procurement rules, Data Protection Legislation and freedom of information legislation. [In particular the Parties agree to comply with the requirements of [the Data Processing Terms at Annex B in respect of Personal Data of which one Party is the Controller and the other is the Processor (as identified in Annex B)] [and] [a separate Data Sharing MoU between

the Parties in respect of any Personal Data shared by the Parties of which each is a Controller]];

3.1.7. to act in a timely manner;

3.1.8. to carry out the project in such a manner (where relevant) so as to facilitate the delivering of sustainability objectives for government;

3.1.9. to agree a strategy for managing communication with stakeholders;

3.1.10. as far as reasonably possible, ensure sufficient and appropriately qualified employees and other necessary resources are available and (in the case of employees) authorised to fulfil the responsibilities set out in this MoU. If a partner has a concern about this requirement, they are obliged to raise their concern with the Oversight Board for collaborative discussion. [In particular, the Parties agree to make the contributions detailed in Annex D (Contributions) to this MoU]; and

3.1.11. to act in good faith to support achievement of the Key Objectives and compliance with these Principles.

4. Project Governance - General Structure

4.1. The Parties shall establish an Oversight Board, which shall:

4.1.1. be responsible for providing overall strategic oversight and direction to the Project (including by way of jointly-agreed input to the MoU Representatives); and

4.1.2. consist of an equal number of representatives from each of the Parties;

4.2. The Oversight Board members are:

See Animal Health System Strengthening Project – Oversight Board Terms of Reference in Annex A

4.3. The Oversight Board shall meet every two months and act, in accordance with the Principles, as it considers necessary to ensure that the Key Objectives are met.

5. At the commencement of this MoU, the MoU Representatives are:

APHA: Project Manager
Cefas: Technical Lead
Defra: Programme Manager
VMD: Project Lead

5.1. The MoU Representatives are responsible for:

5.1.1. managing the project at workstream level;

5.1.2. providing assurance to the Oversight Board that the Key Objectives are being met and that the Project is proceeding in accordance with any directions given by the Oversight Board; and

5.1.3. the creation and execution of the project plan and deliverables.

6. Project reporting and management is to be undertaken by Global Animal Health (GAH) PMO as set out as detailed in the Management Case of the Business Case - Annex F.

7. The Parties agree to undertake the following roles and responsibilities to deliver the Project as detailed in The Business Case, Section 1.6 The Management Case and Appendices iiI, iv & v – Annex F.

7.1.1. For the purpose of the table above:

Activity	**The Board**	**Defra**	**APHA**	**VMD**	**Cefas**
Policy decisions[1]	Assure	Lead	Assure	Assure	Assure
Programme Delivery	Assure	Assure	Lead	Lead	Lead
Funding decisions	Assure	Lead	Assure	Assure	Assure
Press, media, and communications	Assure	Lead	Lead	Lead	Assure
Monitoring and evaluation	Assure	Lead	Assure	Assure	Assure

7.1.2. **Lead:** means the Party that has principal responsibility for undertaking the particular task, and that will be authorised to determine how to undertake the task. The Lead must act in compliance with the Key Objectives at all times, and consult with the other Party in advance if they are identified as having a role to Assure the relevant activity;

7.1.3. **Assure:** means the Party that will defer to the Lead on a particular task, but will have the opportunity to review and provide input to the Lead before they take a final decision on any activity. All assurance must be provided in a timely manner. Any derogations raised must be limited to raising issues that relate to specific needs that have not been adequately addressed by the Lead and/or concerns regarding compliance with the Key Objectives and Principles.

[1] Policy Decisions refer to the project strategy and direction

7.2. As detailed in the business case, following the scoping visit the Agencies shall develop a delivery plan to identify the following:

7.2.1. The key milestones for the delivery of the Key Objectives;

7.2.2. What employees (other than employees already identified in this MoU) will be required to work on the project;

7.2.3. Whether any staff will need to be seconded from one Party to the other;

7.2.4. Sub-contractors required access to the premises of the other Party;

7.2.5. Other partnership opportunities.

7.3. The delivery plan shall be reviewed by the Oversight Board for due diligence, coherence to project principles, including One Health and value for money.

8. Charges and liabilities

8.1. Except as otherwise provided in this MoU, the Parties must each bear their own costs and expenses incurred in complying with their obligations under this MoU.

8.2. [The Parties agree to share the costs and expenses arising in respect of the Project between them in accordance with the Schedule set out in Annex D to this MoU.]

8.3. The Parties remain liable for any losses or liabilities incurred due to their own or their employees' actions and neither Party intends that the other Party shall be liable for any loss it suffers as a result of this MoU.

9. Intellectual Property Rights

9.1. All pre-existing Intellectual Property Rights or Intellectual Property Rights developed independently of this MoU (**"Background IPR"**) remains the property of the owning Party.

9.2. Any Intellectual Property Rights that arise or are developed in carrying out the requirements of this MoU (**"Foreground IPR"**) are vested in and owned by the Party creating or developing those rights (or, in the case of any Intellectual Property Rights created jointly by employees of the Parties, in the Party that is Lead Party noted in Clause 7 for the part of the Project to which the Intellectual Property Right relates).

9.3. Each Party grants the other party an irrevocable, royalty free, non-exclusive licence of all jointly developed Intellectual Property Rights owned by it pursuant to Clause 9.2 for its own use and exploitation.

9.4. Each Party licenses to [the other/each other Party] on an irrevocable, royalty-free, non-exclusive basis its Foreground IPR and Background IPR to the extent necessary for implementing the Project.

10. Freedom of Information and Communications to the Public

10.1. Each Party will:

10.1.1. provide to the other Party any information in its possession that may be reasonably requested by the other, subject to necessary confidentiality constraints, safeguards and statutory rules on disclosure;

10.1.2. consult the other Party before making to any third party any significant disclosures of information under the Freedom of Information Act 2000 and/or the Environmental Information Regulations 2004 or Code of Practice on Access to Government Information; and

10.1.3. seek the approval of the other Party before externally publishing any information resulting from the use of exchanged data received from the other Party, such approval not to be unreasonably withheld.

10.2. The obligations in Clause 10.1 and Clause 11 (Confidential Information) are subject to any government requirements as to transparency which may apply to either or all Parties from time to time.

11. Confidential Information

11.1. Each of the Parties understands and acknowledges that it may receive or become aware of Confidential Information belonging to the other Party whether in the course of the performance of this MoU or otherwise.

11.2. Except to the extent set out in this Clause or where disclosure is expressly permitted elsewhere in this MoU, each Party must:

11.2.1. treat the other Party's Confidential Information as confidential and safeguard it accordingly;

11.2.2. not disclose the other Party's Confidential Information to any other person (except their employees, agents and professional advisers to the extent to which such disclosure is necessary for the purposes contemplated under this MoU, and subject to procuring that such persons are made aware of, and comply with, these obligations of confidentiality).

11.3. The obligations of confidentiality imposed by Clauses 11.1 and 11.2 do not apply to any Confidential Information to the extent that it is required to be disclosed by a requirement of law placed upon the Party making the disclosure (including any requirements for disclosure under the Freedom of Information Act 2000 and/or the Environmental Information Regulations 2004 or Code of Practice on Access to Government Information).

11.4. The obligations of confidentiality in Clauses 11.1 and 11.2 continue in force notwithstanding termination of this MoU.

11.5. The Parties must not use data or information exchanged under this MoU for commercial purposes without the prior written agreement of the supplying Party.

12. Dispute Settlement

12.1. It is the responsibility, in the first instance, of the MoU Representatives to attempt to resolve any dispute between the Parties arising out of or in connection with this MoU and, if no resolution is reached within a reasonable period of time, the dispute should be referred to the Oversight Board for resolution.

12.2. If the Oversight Board is unable to resolve the dispute within a reasonable period of time, the dispute shall then be escalated the Heads of Department or other senior officials of the parties for resolution.

13. Term and Termination

13.1. This MoU commences on 1st April 2022 and (subject to earlier termination on the terms of this MoU) continues in force for a period of 3 years until 31st March 2025, which period may be extended by the mutual written agreement of the Parties.

13.2. Either Party may terminate this MoU:

13.2.1. for any reason by giving 6 months' notice in writing to the other Party;

13.2.2. by giving 3 months' notice in writing to the other Party in the event that it reasonably concludes following a review pursuant to Clause 15.1 that the MoU no longer represents a valuable use of resources in the pursuit of its objectives;

13.2.3. forthwith by giving notice in writing in the event of material breach by the other not remedied within 30 days of written notice from the terminating Party; or

13.2.4. forthwith by giving notice in writing to the other Party if events, circumstances or causes beyond its reasonable control (and arising without its fault or negligence) result in it being unable to comply with its obligations under this MoU.

14. Consequences of Termination

14.1. On termination of this MoU (either as a whole or by one Party, individually), the Parties will endeavour to ensure that all assets contributed by each Party (as detailed in Annex D) and which remain unused for the Project will, so far as possible, be transferred back to that Party.

15. Review and audit of the MoU

15.1. This MoU is to be reviewed:

15.1.1. annually; and

15.1.2. whenever substantial changes occur to the policies, external relationships and structures of the Parties.

15.2. Any changes to this MoU will only be effective if set out in writing and signed by the Parties.

15.3. Each Party must:

15.3.1. keep and maintain until six (6) years after termination of this MoU full and accurate records of the Project and all sums received from the other Party; and

15.3.2. on request afford the other Party or their representatives such access to those records as may be requested in connection with the MoU or as otherwise required in connection with audit requirements (including, without limitation, audit by the National Audit Office).

16. Miscellaneous

16.1. This MoU does not:

16.1.1. confer any rights on any third party;

16.1.2. limit, supersede or otherwise affect any Party's normal operations in carrying out its statutory, regulatory or other duties;

16.1.3. limit or restrict any Party from participating in similar activities or arrangements with other entities.

16.2. Except as otherwise expressly provided, this MoU constitutes the entire agreement between the Parties with respect to its subject matter and this MoU supersedes all prior agreements, communications and representations, whether oral or written, concerning its subject matter.

16.3. Nothing in this MoU:

16.3.1. creates or is intended to create a partnership or joint venture between the Parties;

16.3.2. constitutes one Party as the agent of another Party nor the employees, contractors or consultants of one Party as those of another Party;

16.3.3. gives either Party authority to enter into any contract, warranty or representation as to any matter on behalf of the other Party

16.3.4. causes one Party to be bound by the acts or conduct of the other Party.

17. Governing Law and Jurisdiction

17.1 This MoU shall be governed by and construed in accordance with English law and, without affecting the Dispute Settlement procedure set out in Clause 12, each Party agrees to submit to the exclusive jurisdiction of the courts of England and Wales.

18. Safeguarding

18.1 The Participants have a zero tolerance for inaction approach to tackling sexual exploitation, abuse and sexual harassment ("SEAH") and agree the terms set out in Annex E. This means the Partner, and its implementing partners, will take all reasonable and adequate steps to prevent SEAH of any person linked to the delivery of this Memorandum by both its employees and any implementing partner and respond appropriately when reports of SEAH arise. The Partner will apply the IASC Six Core Principles relating to Sexual Exploitation and Abuse and will adhere to the IASC Minimum Operating Standards on PSEA and/or the Core Humanitarian Standard on Quality and Accountability.

18.2 When the Partner becomes aware of suspicions or complaints of SEAH, the Partner will take swift and appropriate action to stop harm occurring, investigate and report to relevant authorities (for criminal matters) when safe to do so and after considering the wishes of the survivor. The Partner will also promptly contact DEFRA at ODA.Safeguarding@defra.gov.uk to report any allegation credible enough to warrant an investigation of DEFRA related to this Memorandum. The Partner will promptly report to DEFRA any allegation credible enough to warrant an investigation of SEAH that are not directly related to this Memorandum but would be of significant impact to the partnership with DEFRA. It is understood and accepted that the Partner's arrangement to report on SEAH is subject to not compromising the safety, security, privacy and due process rights of any concerned person.

19. Sustainability

19.1 This project is about enhancing One-health and All-hazards technical capabilities in the target countries and regional institutions and also about the development of technical partnerships. Training and knowledge transfer is the core component of the project.

19.2 Appointment of in-country staff team will help to maintain project presence and momentum. This will also minimise the carbon impact of

international travel, reducing numbers of flights. Alternative working arrangements will be implemented which use remote working, wherever possible, to develop and sustain close mentoring, support and developmental working relationships, rather than face to face contact.

Annex A. The Project Oversight Board Terms of Reference

1. Purpose and Objectives

The purpose of the Animal Health Systems Strengthening (AHSS) Oversight Board is to act as the main due diligence mechanism for the delivery of the AHSS project. This ODA funded project will work with responsible authorities in Low and Middle-Income Countries (LMICs) to build resilient health systems by strengthening animal health systems capabilities, to better protect, detect and respond to known and emerging diseases through One Health, all-hazards and system-strengthening approaches, improving livelihoods, enhancing global health security, and working towards ending preventable deaths.

Given the overlap of membership between AHSS and the One Food projects Oversight Boards, meetings will be held 70 minutes preceding One Food Oversight Board meetings.

2. The remit of the AHSS Oversight Board includes:

a) Review of annual workplans
b) Final decision making on focal countries
c) Project finance
d) Project progress
e) Project risks and issues
f) Acting as an escalation point and conflict resolution mechanism for issues arising during the project
g) Providing strategic oversight of relevant issues within Defra and across Whitehall.

3. Proposed Agenda

a) Apologies
b) Agree notes of last meeting and review actions
c) Delivery Plan
d) Forward Look
e) Risks & Issues
f) Finance
g) [Reserved for specialist updates/papers]
h) Date of next Meeting
i) AOB

4. **Frequency:** Once every 2 months: Third Tuesday of every other month commencing 19th July 2022.

5. Proposed Attendees

a) Chair - UK DCVO and GAH Deputy Director
b) Defra Global Animal Health-ODA Senior Leadership Team – SRO and Technical Adviser
c) Defra ALBs Delivery Leads

d) FCDO
e) UKHSA
f) DHSC
g) GAH Secretariat - PRO & GAH-ODA
h) Defra ODA Hub Representative
i) Defra Group Commercial
j) Other - invited for relevant discussions

6. Key Principles

a) The Board provides strategic direction and has decision-making authority
b) Attendees that are unable to attend should send a sufficiently empowered deputy
c) Non-attendance (without a nominated deputy) counts as approval for any decisions being made
d) To be quorate, a minimum of the Chair plus one member of the GAH-ODA Senior Leadership Team and a Defra ALB Delivery Lead must be in attendance
e) The general approach to discussion will be solution focused while encouraging constructive challenge
f) In a situation where the Board members are unable to reach a consensus, the issue will be escalated to the Chair to make the final decision.

7. Inputs

a) Project overview update, including finances, RAID log, high level summary across all workstreams and up-to-date delivery plan
b) Updates/papers as agreed by the Chair and Secretariat
c) A notice of meeting confirming the time, date, and location and any papers will be circulated at least three working days prior to the meeting.

8. Outputs

a) Minutes detailing salient points, decisions and actions will be produced and circulated by the Secretariat once signed-off by the Chair
b) Key decisions to be added to the project RAID log
c) Agreement of current delivery plan
d) Approval of items (subject to agreed changes) requested by AHSS Technical Working Group.

9. Roles and Responsibilities

Chair
SRO
PRO
Secretariat: GAH - ODA

Annex B. [Data Processing Terms]

1. DEFINITIONS

Terms defined in this MoU have the same meaning for purposes of this Annex and, in addition, the following terms have the following meanings:

Controller, **Processor**, **processing**, **Data Subject**, **Personal Data**, **Data Protection Officer** take the meaning given in the GDPR or, in respect of processing of personal data for a law enforcement purpose to which Part 3 of the DPA 2018 applies, the meaning in that Part if different.

Data Protection Impact Assessment: an assessment by the Controller of the impact of the envisaged processing on the protection of Personal Data.

Personal Data Breach: a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, Personal Data transmitted, stored or otherwise processed.

Processor Personnel: means all directors, officers, employees, agents, consultants and contractors of the Processor and/or of any Sub-processor engaged in the performance of its obligations under this MoU.

Protective Measures: appropriate technical and organisational measures which may include: pseudonymising and encrypting Personal Data, ensuring confidentiality, integrity, availability and resilience of systems and services, ensuring that availability of and access to Personal Data can be restored in a timely manner after an incident, and regularly assessing and evaluating the effectiveness of the such measures adopted by it.

Subject Request: a request made by, or on behalf of, a Data Subject in accordance with rights granted pursuant to the Data Protection Legislation in respect of their Personal Data.

Sub-processor: any third party appointed to process Personal Data on behalf of that Processor related to this MoU.

2. REQUIREMENTS OF PARTIES TO THIS MOU

2.1 Where there is a Controller-Processer relationship, each Party shall co-operate with the other Party to complete Schedule 1 to this Annex prior to entering into the relationship.

3. DATA PROTECTION – WHEN ONE PARTY IS CONTROLLER AND THE OTHER PARTY IS THE PROCESSOR

3.1 Schedule 1 identifies the Party acting as Controller and the Party acting as Processor for Personal Data processed under this MoU. Subject to paragraph 3.4 (a), the only processing that the Processor is authorised to do is listed in Schedule 1 by the Controller and may not be determined by the Processor.

3.2 The Processor shall notify the Controller immediately if it considers that any of the Controller's instructions infringe the Data Protection Legislation.

3.3 The Processor shall provide all reasonable assistance to the Controller in the preparation of any Data Protection Impact Assessment in respect of any processing. Such assistance may, at the discretion of the Controller, include:

(a) a systematic description of the envisaged processing operations;

(b) an assessment of the necessity and proportionality of the processing operations in relation to the Project;

(c) an assessment of the risks to the rights and freedoms of Data Subjects; and

(d) the measures envisaged to address the risks, including safeguards, security measures and mechanisms to ensure the protection of Personal Data.

3.4 The Processor shall, in relation to any Personal Data processed in connection with its obligations under this MoU:

(a) process that Personal Data only in accordance with Schedule 1, unless the Processor is required to do otherwise by Law. If it is so required the Processor shall promptly notify the Controller before processing the Personal Data unless prohibited by Law;

(b) ensure that it has in place Protective Measures, which are appropriate to protect against a Personal Data Breach, which the Controller may reasonably reject (but failure to reject shall not amount to approval by the Controller of the adequacy of the Protective Measures), having taken account of the:

(i) nature of the data to be protected;

(ii) harm that might result from a Personal Data Breach;

(iii) state of technological development; and

(iv) cost of implementing any measures;

(c) ensure that:

(i) the Processor Personnel do not process Personal Data except in accordance with this MoU (and in particular Schedule 1);

(ii) it takes all reasonable steps to ensure the reliability and integrity of any Processor Personnel who have access to the Personal Data and ensure that they:

(A) are aware of and comply with the Processor's duties under this paragraph;

(B) are subject to appropriate confidentiality undertakings with the Processor or any Sub-processor;

(C) are informed of the confidential nature of the Personal Data and do not publish, disclose or divulge any of the Personal Data to any third Party unless directed in writing to do so by the Controller or as otherwise permitted by this MoU; and

(D) have undergone adequate training in the use, care, protection and handling of Personal Data

(d) not transfer Personal Data outside of the EEA unless the prior written consent of the Controller has been obtained and the following conditions are fulfilled:

(i) the Controller or the Processor has provided appropriate safeguards in relation to the transfer (whether in accordance with GDPR Article 46 or Chapter 5 of the DPA 2018) as determined by the Controller;

(ii) the Data Subject has enforceable rights and effective legal remedies;

(iii) the Processor complies with its obligations under the Data Protection Legislation by providing an adequate level of protection to any Personal Data that is transferred (or, if it is not so bound, uses its best endeavours to assist the Controller in meeting its obligations); and

(iv) the Processor complies with any reasonable instructions notified to it in advance by the Controller with respect to the processing of the Personal Data;

(e) at the written direction of the Controller, delete or return Personal Data (and any copies of it) to the Controller on termination of the MoU unless the Processor is required by Law to retain the Personal Data.

3.5 Subject to paragraph 3.6, the Processor shall notify the other Party without delay if it, in connection with Personal Data processed under this MoU:

(a) receives a Subject Request (or purported Subject Request);

(b) receives a request to rectify, block or erase any Personal Data;

(c) receives any other request, complaint or communication relating to either Party's obligations under the Data Protection Legislation;

(d) receives any communication from the Information Commissioner or any other regulatory authority;

(e) receives a request from any third party for disclosure of Personal Data where compliance with such request is required or purported to be required by Law; or

(f) becomes aware of a Personal Data Breach, such notification in any event to be within 24 hours of becoming aware of the Personal Data Breach.

3.6 The Processor's obligation to notify under paragraph 3.5 shall include the provision of further information to the Controller in phases, as details become available.

3.7 Taking into account the nature of the processing, the Processor shall provide the Controller with full assistance in relation to either Party's obligations under Data Protection Legislation in connection with Personal Data processed under this MoU and any complaint, communication or request made under paragraph 3.5 (and insofar as possible within the timescales reasonably required by the Controller) including by promptly providing:

(a) the Controller with full details and copies of the complaint, communication or request;

(b) such assistance as is reasonably requested by the Controller to enable the Controller to comply with a Subject Request within the relevant timescales set out in the Data Protection Legislation;

(c) the Controller, at its request, with any Personal Data it holds in relation to a Data Subject;

(d) assistance as requested by the Controller following any Personal Data Breach;

(e) assistance as requested by the Controller with respect to any request from the Information Commissioner's Office, or any consultation by the Controller with the Information Commissioner's Office.

3.8 The Processor shall maintain complete and accurate records and information to demonstrate its compliance with this Annex B. This

requirement does not apply where the Processor employs fewer than 250 staff, unless:

(a) the Controller determines that the processing is not occasional;

(b) the Controller determines the processing includes special categories of data as referred to in Article 9(1) of the GDPR or Personal Data relating to criminal convictions and offences referred to in Article 10 of the GDPR

(c) the Controller determines that the processing is likely to result in a risk to the rights and freedoms of Data Subjects; or

(d) the processing is processing to which Part 3 of the DPA 2018 applies

3.9 The Processor shall allow for audits of its Personal Data processing activity by the Controller or the Controller's designated auditor.

3.10 The Parties shall designate a Data Protection Officer if required by the Data Protection Legislation.

3.11 Before allowing any Sub-processor to process any Personal Data related to this MoU, the Processor must:

(a) notify the Controller in writing of the intended Sub-processor and processing;

(b) obtain the written consent of the Controller;

(c) enter into a written agreement with the Sub-processor which give effect to the terms set out in this Annex B such that they apply to the Sub-processor; and

(d) provide the Controller with such information regarding the Sub-processor as the Controller may reasonably require.

3.12 The Processor shall remain fully liable for all acts or omissions of any of its Sub-processors.

3.13 The Controller may, at any time on not less than 30 Working Days' notice, revise this Clause by replacing it with any applicable controller to processor standard clauses or similar terms forming part of an applicable certification scheme (which shall apply when incorporated by attachment to this MoU).

3.14 The Parties agree to take account of any guidance issued by the Information Commissioner's Office. The Controller may on not less than 30 Working Days' notice to the Processor amend this MoU to ensure that it complies with any guidance issued by the Information Commissioner's Office.

4. RECORDS

4.1 Each Party shall maintain complete and accurate records and information to demonstrate its compliance with this MoU and the Data Protection Legislation.

4.2 Each Party shall provide the other full access to the other Party's data security and privacy procedures relating to Personal Data.

5. STATUS

This MoU is intended to comply with GDPR Article 28 and/or DPA 2018 section 59, pursuant to section 209(3) of the DPA 2018.

Schedule 1 - Details of Personal Data Exchange

1. The Processor shall comply with any further written instructions with respect to processing by the Controller.

2. Any such further instructions shall be incorporated into this Schedule.

Description	Details
Identity of the Controller and Processor	The Parties acknowledge that for the purposes of the Data Protection Legislation the Controller and Processor are: • Controller: Defra • Processor: APHA, VMD, and Cefas
Project Name and Subject Matter of the Processing	Any identifiable personal information from Defra and third parties the ALBs (APHA, VMD and Cefas) come across over the duration of the processing period will be for the sole purpose of the realisation of the Animal Health System Strengthening Project.
Duration of the processing	1st April 2022 until 31st March 2025.
Nature and purposes of the processing	Nature and purpose of the processing are for research and development purposes only and might include but not limited to collection, consultation, recording, organisation, structuring, storage, adaptation, alteration of personal data.
Type of Personal Data (including identifying any special category data or data relating to criminal convictions and offences)	Personal data visibility from Processors might include the following: Name, Job Title, location, email address, gender, age, images and whatever data is necessary for the development of the Animal Health System Strengthening project.

Categories of Data Subject	Defra staff identifiable information and from any of the ALBs.
Plan for return and destruction of the data once the processing is complete UNLESS requirement under union or member state law to preserve that type of data	Information will be retained on APHA, VMD, and Cefas for the lifetime of Programme (5 years) and an additional 12 months for administrative purposes before deletion.
Transfers to third countries or international organisations	There are no plans to transfer personal data to 3rd countries or international organisations. Personal data may however be processed in 3rd countries under their applicable legal regimes. This will be kept under review and if transfers of personal data do become necessary the advice of the Data Protection Officer or Data Protection Manager will be sought in advance.
Legal Basis for Processing	Public task: the processing is necessary for you to perform a task in the public interest or for your official functions, and the task or function has a clear basis in law. https://ico.org.uk/for-organisations/guide-to-data-protection/guide-to-the-general-data-protection-regulation-gdpr/lawful-basis-for-processing/public-task/ for ICO guidance.
Special Terms	N/A

Annex C. Project Reporting and Management

Remit: The project will be managed by the Global Animal Health team which is part of Animal Plant Health and Welfare Directorate, under the Food, Farming and Biosecurity (FFaB) System in Defra.

Operational Decision-making is delegated to the Senior Leadership Team supported by Programme Management Office (PMO). They will be responsible for the day-to-day leadership decisions, technical review and challenge of work packages and activities developed and delivered by the Technical Lead to ensure value for money, a robust scientific evidence base, best practice and the adaption of a One Health approach.

Meetings: Senior Leadership Team and PMO will meet weekly to review monthly progress reports and issues arising from the technical leads to inform agenda items and updates for the Oversight Board (due diligence and senior decision making forum).

Reporting: Senior Leadership Team and PMO will monitor progress against key milestones, risks and opportunities and prepare project level reports for submission to:

- the ODA Hub on monthly basis
- the Oversight Board on two monthly basis
- the SRO will report to Defra ODA Board on a quarterly basis.

Further information can be found in Business Case (The Management Case, section 1.6 and Appendices iii, iv & v) in Annex F.

Annex D. [Contributions/Resources]

An agile project management approach will be adopted to delivery of the project. This will involve a collaborative and iterative process with responsible authorities and delivery leads, to identify and review needs, co-design and implement activities, shifting requirements as the project develops to strengthen animal health systems in line with the three-phase approach summarised below and detailed in the business case (Annex F).

Phase 1 (Discovery Phase) - the design and development phase limited to two countries will include, desk-top analysis, partnership working with OGDs, in-country scoping visits with responsible authorities to understand their needs in areas of Defra's capabilities and to map the landscape of animal health provision, including involvement of other key stakeholders to inform activities and impact. The key findings will be reviewed and a costed workplan drafted to meet needs and indicative year 1 outcomes, as referenced in the theory of change, will be developed for each country. Baseline assessments will be conducted, and foundation activities delivered in the first year.

Phase 2 (Alpha Phase) - the implementation phase will be characterized by a progressive increase of activities, strengthening collaboration with responsible authorities, international partners and across HMG. The workplan will be regularly reviewed, activities/key deliverable costed and adjusted to meet the mid term outcomes and nuanced need in each country. The number of countries will increase but with a view to growing impact at regional level, for example, by working with countries with regional influence. Work with key partners identified in the first phase will leverage greater impact through joint working or influence in multilateral initiatives.

Phase 3 (Beta Phase) – the sustainability phase will focus on long-term vision. Sufficient capability and capacity across Defra Group will be established to utilise potential increased ODA funding and to continue to deliver the benefits founded in the implementation phase whilst being flexible to respond to new opportunities or challenges. Support will be facilitated bilaterally to competent authorities and multilaterally with the Quadripartite (WHO, OIE, FAO and UNEP) and other regional institutions such as Africa CDC and WAHO.

The immediate outputs and outcomes as detailed in the Theory of Change (Appendix E) will be delivered via a One Health approach with:

- APHA leading on risk analysis and epidemiology, laboratory strengthening and surveillance, disease control programme, workforce development, One Health and emergency preparedness
- VMD leading on regulation of veterinary medicine
- CEFAS leading technical advice

- DEFRA leading on coordination and PMO.

Investments for this project will be funded through Defra's ODA budget for the Financial Years 2022 – 2025. Defra will transfer the allocated budget to the Agencies via the Defra group Risk and Opportunities process on a quarterly basis, based on a costed workplan.

A draft costed workplan, with indicative activities/deliverables for phase 2 will be produced in preparation for Q3. With costs ascribed to each partner
The deliverables and associated costs will be regularly monitored and reviewed as part of the project management and oversight process to ensure the deliverables are on track to meet the anticipated outcomes. Joint quarterly review and planning meetings, will assess progress to date and agree which activities will be taken forward.

The Agencies will aim to spend no less than 80% of the agreed budget by the end of each calendar year, in line with ODA spending requirements; and will elevate any risk of potential underspend via the agreed reporting processes in a timely manner.

The Agencies will provide to Defra quarterly financial forecasts, and monthly progress and financial spending (cash and resource) reports, aligned to the dynamic/iterative delivery approach. Costs will be determined by workplans for each phase, will include details of indicative costed activities to be delivered by each Agency.

Funding has been allocated based on each financial year and cannot be rolled over from one financial year into the next.

Annex E. [Safeguarding]

JOINT DONOR LANGUAGE ON SEAH

1. The Participants have a zero tolerance for inaction approach to tackling sexual exploitation, abuse and harassment ("SEAH").[1] This means the Partner, and its implementing partners, will take all reasonable and adequate steps to prevent SEAH of any person linked to the delivery of this Memorandum by both its employees and any implementing partner and respond appropriately when reports of SEAH arise. The Partner must apply the IASC Six Core Principles Relating to Sexual Exploitation and Abuse and the following principles and practices when implementing this programme and provide evidence to demonstrate this where required:

a. Adherence to the IASC-Minimum Operation Standards and/or SEA elements of the Core Humanitarian Standard on Quality and Accountability;
b. A survivor-centred approach[2] to SEAH issues;
c. Strong leadership and signalling on tackling SEAH;
d. Make all reasonable and adequate efforts to address gender inequality and other power imbalances;
e. Robust reporting to enhance accountability and transparency;
f. Ensure that SEAH standards from this arrangement are reflected in funding templates with implementing partners, [for UN entities: by means such as, but not limited to, adherence to the United Nations Protocol on Allegations of Sexual Exploitation and Abuse Involving Implementing Partners.]

2. The Partner will adhere to the following reporting requirements:

a. The Partner will promptly contact through written notice to ODA.safeguarding@defra.gov.uk to report any allegation credible enough to warrant an investigation of SEAH related to this Memorandum.
b. The Partner should also promptly report to ODA.safeguarding@defra.gov.uk any allegation credible enough to warrant an investigation of SEAH that are not directly related to this Memorandum but would be of significant impact to the partnership.
c. [For UN entities] The Partner will report all allegation credible enough to warrant an investigation of sexual exploitation and abuse and, where relevant, the action taken, with regard to its governance and operations, regardless of the relation to this memorandum, to the Secretary-General's public reporting mechanism on SEA.

3. The report, as referred to in paragraph 2.a and 2.b, will indicate: [agreement/arrangement number], nature of the alleged misconduct, date of alleged misconduct, date of first report to Partner, location [as/if specified by [donor]], involvement of implementing partner, state of affairs concerning the investigation and the action that will be taken by the Partner, and whether the case is referred to law enforcement. The organisation will provide updates on the status of the case. The notice will be given in writing and delivered to the point of contact mentioned in paragraph 2.a and 2.b.

4. It is understood and accepted that the Partner's arrangement to report on SEAH is subject to not compromising the safety, security, privacy and due process rights of any concerned persons.

5. When the Partner becomes aware of suspicions or complaints of SEAH, the Partner will take swift and appropriate action to stop harm occurring, investigate and report to relevant authorities (for criminal matters) when safe to do so and after considering the wishes of the survivor.
6. The donor or any of its duly authorised representatives may at all times carry out reviews, evaluations or other control measures to verify the Partner's zero tolerance for SEAH. The Partner shall fully cooperate with the donor or any of its duly authorized representatives or agents to carry out such control measures.

[1] See UNGA Resolution A/RES/73/148 for the definition of sexual harassment and UNSG Bulletin ST/SGB/2003/13 for the definition of sexual exploitation and abuse. Both definitions are included in the DAC Recommendation on Ending Sexual Exploitation, Abuse, and Harassment in Development Co-operation and Humanitarian Assistance: Key Pillars of Prevention and Response.

[2] A survivor-centred approach is one for which the survivor's dignity, experiences, considerations, needs, and resiliencies are placed at the centre of the process, from the initial program design to investigating and responding to potential incidents. Consistent with the UN Protocol on Allegations of SEA Involving Implementing Partners, the survivor should be informed, participate in the decision-making process, and provide consent on the possible use and disclosure of their information. Those interacting with the survivor and/or handling information regarding the allegation must maintain confidentiality, ensure safety of the survivor, and apply survivor-centred principles which are safety, confidentiality, respect, and non-discrimination. When the survivor is a child, the approach must consider the best interests of the child and engage with the family/caregivers as appropriate. Staff and partners should comply with host country and local child welfare and protection legislation and international standards, whichever gives greater protection.

Annex F

Department
for Environment
Food & Rural Affairs

Global Animal Health
Animal Health Systems Strengthening (AHSS) project

Short Form

Business Case

Version No: 2

***Date*: 22/05/2022**

Summary Sheet

Title: Animal Health Systems Strengthening Project		
Project Purpose: To work with competent authorities in Lower-Middle Income Countries (LMICs) to build resilient health systems by strengthening capabilities in animal health systems, to better protect, detect and respond to known and emerging diseases and health threats. Value: Up to £5m		
Project Code **AHSS-36850**	**Start Date** **April 1st 2022**	**End Date** **31st March 2025**

Version Control

Version Number	Date	Notes
1	04/04/2022	1st completed draft
2	16/04/2022	2nd Version completed - cleared by SRO
3.	20/05/2022	• Revisions to Indicative Indicators • Remove reference to "framework agreements with RVC and EHA" • Remove reference to "confidence to deliver" (reflecting current DcG capacity limitations and replace with "delivery agency will work with Defra Commercial" • Include description of VMD's expertise under delivery mode, • Revision to the governance structure including changes to named SRO and PRO under delivery model, TOR for the TWG, and updates to the senior leadership team and PMO • Amendment to the reporting structure to reflect specific responsibilities of the SRO and PRO • Reprofile budget – following request approval from ODA Hub

Table of Contents

1. BUSINESS CASE ..... - 32 -
1.1. INTRODUCTION ..... - 32 -
1.2. STRATEGIC CASE ..... - 33 -
1.3. ECONOMIC CASE ..... - 40 -
1.4. COMMERCIAL CASE ..... - 43 -
1.5. FINANCIAL CASE ..... - 46 -
1.6. MANAGEMENT CASE ..... - 47 -
1.7. RECOMMENDATION ..... – 53 -
1.8. APPENDICES ..... - 55 -

Acronyms

AHS	Animal Health Systems
ALB	Arm's Length Body
AMR	Antimicrobial Resistance
APHA	Animal and Plant Health Agency
APHW	Animal Plant Health and Welfare Directorate
BAU	Business As Usual
CDC	Centre for Disease Control
CEFAS	Centre for Environment, Fisheries and Aquaculture Science
CO	Cabinet Office
CSF	Critical Success Factors
CVO	Chief Veterinary Officer
DEFRA	Department for Environment, Food & Rural Affairs
DHSC	Department of Health and Social Care
FA	Framework Agreement
FAO	Food and Agriculture Organisation
FCDO	Foreign, Commonwealth & Development Office
FFaB	Food, Farming and Biosecurity Directorate
GAH	Global Animal Health
HMG	Her Majesty's Government
IHR	International Health Regulations
KPIs	Key performance indicators
LMICs	Low to Middle Income Countries
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NDPB	Non-Departmental Public Body
NGOs	Non-Governmental Organisations
ODA	Official Development Assistance
OGDs	Other Government Departments
OH	One Health
OIE	World Organisation for Animal Health (formerly Office International des Epizooties)
PMO	Project Management Office
PMP	Progressive Management Pathway
PRO	Programme Responsible Officer
PVS	Performance of Veterinary Services
SAFE	Security Awareness in Fragile Environments
SCAH	Science Capability in Animal Health
SDG	Sustainable Development Goal
SLA	Service-level Agreement
SRO	Senior Responsible Officer
STA	Short Term Appointment
TAG	Technical Advisory Group
UKHSA	UK Health Security Agency

UNEP	United National Environmental Programme
UNGA	United Nations General Assembly
VFM	Value For Money
VMD	Veterinary Medicines Directorate
VTD	Vaccines Therapeutics and Diagnostics
WTO	World Trade Organisation
WAHO	West African Health Organization
WHO	World Health Organisation

Business case

1.1 Introduction

This business case seeks approval of up to £5m for Global Animal Health to deliver Official Development Assistance (ODA) funded technical assistance in up to three African countries between 2022 – 2025.

The aim of the project is to work with responsible authorities in Lower-Middle Income Countries (LMICs) to build resilient health systems by strengthening capabilities in animal health systems (AHS), to better protect from, and detect and respond to known and emerging diseases (including those of epidemic and pandemic potential) through a One Health, all-hazards, system strengthening approach, improving livelihoods, enhancing global health security and working towards ending preventable deaths.

The programme will build on the recent ODA funded COVID-19 Response project and Animal Health System Strengthening Short Project, delivered in financial years 20/21 and 21/22 respectively. It will align with and add value to relevant programmes delivered by the UK Government including the UKHSA IHR Strengthening Project[2], DHSC Fleming Fund[3], and FCDO and other national and international programmes.

A phased approach will be used to build an effective scalable programme to deliver a large and lasting impact. The project will be delivered initially in Ghana and Nigeria and expand to a third country in the second year, following a feasibility and suitability gateway assessment.

The project will work with scientists from across the Defra group agencies: Animal and Plant Health Agency (APHA), Veterinary Medicines Directorate (VMD) and Centre for Environment, Fisheries and Aquaculture Science (CEFAS), along with specialist third party organisations to provide technical assistance. Defra's Global Animal Health Official Development Assistance (GAH-ODA) Team is responsible for oversight and programme management.

All investments made as part of this project will be funded through Defra's ODA budget for FYs 2022/23-2024/25. A budget of up to £5m was approved by Minister Goldsmith on 17th January 2022. £1.6m has been allocated for year 1 (FY 2022/23). Revised to £1.1m following a request to reprofile. The Minister has agreed a year-one review to inform budget allocations for FYs 2023/24 and 2024/25.

[2] PHE 2017 IHR Strengthening Project Business Case
[3] DHSC, 2021 Fleming Fund Project Summary

1.2 Strategic case

Strategic context

The COVID-19 pandemic has shone a light on the rapid global spread and devastating impacts of zoonotic disease across the world, exacerbating existing structural inequalities, fragilities, and undermining development progress. 72% of recently emerging infectious diseases affecting humans are of animal origin, and 60% of all human pathogens are zoonotic. Targeting risk at source is essential to reducing preventable deaths, safeguarding against the risks of zoonotic diseases and antimicrobial resistance (AMR)[4].

More than 70% of the world remains underprepared to prevent, detect, and respond to a public health emergency. Strengthening global health is in the interest of the UK and other countries – it reduces the risk of infectious disease epidemics spreading across the world and boosts economic and trade activity, bringing increased prosperity at home and abroad.

Animals are integral to food security and food safety, providing the highest quality protein in meat, milk and eggs for all populations, and are a valuable contributor to tackling childhood mortality and stunting. Demand for meat and milk is set to triple in Africa by 2050 (OIE 2019)[5]. Despite the importance of animals to livelihoods, food security and global health security - animal health systems are typically chronically under-resourced and in competition with other limited resources, particularly in LMICs.

Strong veterinary services are the forefront of strong AHS. The World Organisation for Animal Health (OIE) Performance of Veterinary Services (PVS) Pathway provides an internationally recognised framework to support a case for investment to address challenges faced by AHS[6].

The case for change

Excluding the investment of £1m for this financial year there are currently no other ODA funded UK programmes, including Defra projects, with a focus on animal health capacity building to address Global Health Security issues.

There is increasing recognition that targeting risk at source is essential to safeguard the planet against the risks of endemic and emerging infectious diseases and AMR. Misuse of antibiotics has led to a serious and growing problem of AMR across the world which must be addressed in both human and animal populations and in the environment.

Every year, at least 2.2 million deaths are attributable to zoonoses and vector-borne infections[7], and 0.7 million deaths to AMR[8]. Global Health Security is a key priority for UK ODA and the global health risk is a transnational challenge – as recognised in

[4] PVS Business Case_Final.pdf (OIE.int)
[5] OIE, 2019 Tool for The Evaluation of Performance of Veterinary Services
[6] PVS_Business_Case_Final.pdf (oie.int)
[7] ILRI 2012, Mapping of Zoonoses and likely Hotspots
[8] IACG, 2019 No Time to Wait -Securing the Future of Drug Resistant Infections

the Integrated Review which, in common with the UK's G7 Presidency, recognised the critical importance of taking a One Health [9] approach to global health threats such as zoonoses and AMR. Recently published FCDO position paper on *Health Systems Strengthening for Global Health Security and Universal Health Coverage* reaffirms the UK commitment to build strong and resilience global health systems and improve health around the world through our collective development, diplomacy, technical and research efforts.

COVID-19 has highlighted the impact of zoonotic pandemics in undermining development progress[10]. It has killed more than 5 million people, pushed an estimated 150 million into extreme poverty, and left around a billion undernourished.[11] The rate of zoonotic infections and AMR is increasing rapidly, with Africa and Asia experiencing the fastest growth rates. Animal health systems are typically chronically under-resourced, particularly in LMICs[12]. This proposal will strengthen capabilities in at least three LMICs to prevent, detect and respond to animal health-related threats to global health as measured by improved baseline performance, resulting in reduced incidence and impact of animal disease outbreaks.

Defra has internationally recognised capabilities in zoonoses, surveillance, diagnostics, AMR, risk analysis, research and field delivery, as demonstrated by designation of over 20 Defra group facilities as international centres of excellence. This proposal will also leverage existing Defra non-ODA investment in APHA facilities (SCAH development at Weybridge) and non-ODA investment to develop the UK's science and surveillance capability in respect of zoonotic disease, meeting commitments made by the PM at the most recent UNGA and the Global Health Summit[13].

This project will fill a gap in HMG's Global Health Security offer by tackling disease outbreaks at source, and support HMG's Integrated Review and G7 commitments by adopting a One Health approach to address the interconnected, complex relationships between the health of people, animals and the environment. Country selection is based on where we can make the greatest difference in terms of country need, regional influence, health risks and existing relationships. These countries are also strategically important, as set out in the Integrated Review, lack the capability to deal with current weaknesses in their health systems, and are the focus of complementary work delivered by other government departments (OGDs).

Using the OIE PVS Pathway as the operating framework, a phased approach will be adopted to build a scalable, effective project, with benefits exceeding beyond the funded period.

[9] HMG definition: "One Health refers to two related ideas: First, it is the concept that the health of humans, animals, plants and the environment we live in are inextricably linked and interdependent. Second, it refers to the collaborative and sustained effort of multiple disciplines working locally, nationally, regionally, and globally to attain optimal health for all living things and the ecosystem in which they co-exist."

[10] World Bank, 2021: Updated estimates of the impact of COVID-19 on global poverty: Turning the corner on the pandemic in 2021?

[11] FCDO 2021, Health systems strengthening for global health security-and-universal-health-coverage/health-systems-strengthening-for-global-health-security-and-universal-health-coverage-fcdo-position-paper#ministerial-foreword

[12] OIE, 2019, Strengthening Veterinary Services Through the OIE PVS Pathway

[13] 2020, Prime Ministers speech to UN General Assembly 26 Sept

Phase 1 - the design and development phase limited to two countries will include, desk-top analysis, partnership working with OGDs and in-country working with responsible authorities to understand their needs in areas of Defra's capabilities and to map the landscape of animal health provision, including involvement of other key stakeholders to inform activities and impact. Baseline assessments will be conducted, and foundation activities delivered in the first year.

Phase 2 - the implementation phase will be characterized by a progressive increase of activities, strengthening collaboration with responsible authorities, international partners and across HMG. The number of countries will increase but with a view to growing impact at regional level, for example, by working with countries with regional influence. Work with key partners identified in the first phase will leverage greater impact through joint working or influence in multilateral initiatives.

Phase 3 – the sustainability phase will focus on long-term vision. Sufficient capability and capacity across Defra Group will be established to utilise potential increased ODA funding and to continue to deliver the benefits founded in the implementation phase whilst being flexible to respond to new opportunities or challenges. Support will be facilitated bilaterally to competent authorities and multilaterally with the Quadripartite (WHO, OIE, FAO and UNEP) and other regional institutions such as Africa CDC and WAHO.

Theory of Change

Investments to strengthen animal health systems have the potential for transformative long-term impact directly contributing to the sustainable development goals.To strengthen Global Health Security and contribute to strong and resilient health systems, which reduce preventable deaths, improve livelihoods, and improve food security, this project will work with responsible authorities in sub-Sahara Africa to improve their capability to better protect, detect and respond to global health threats through technical assistance provided by scientific experts from across the Defra Group. The benefit will be realised through immediate outputs and longer terms outcomes including fewer animals with disease, more efficient production and more effective containment of disease outbreak as illustrated in the corresponding theory of change.

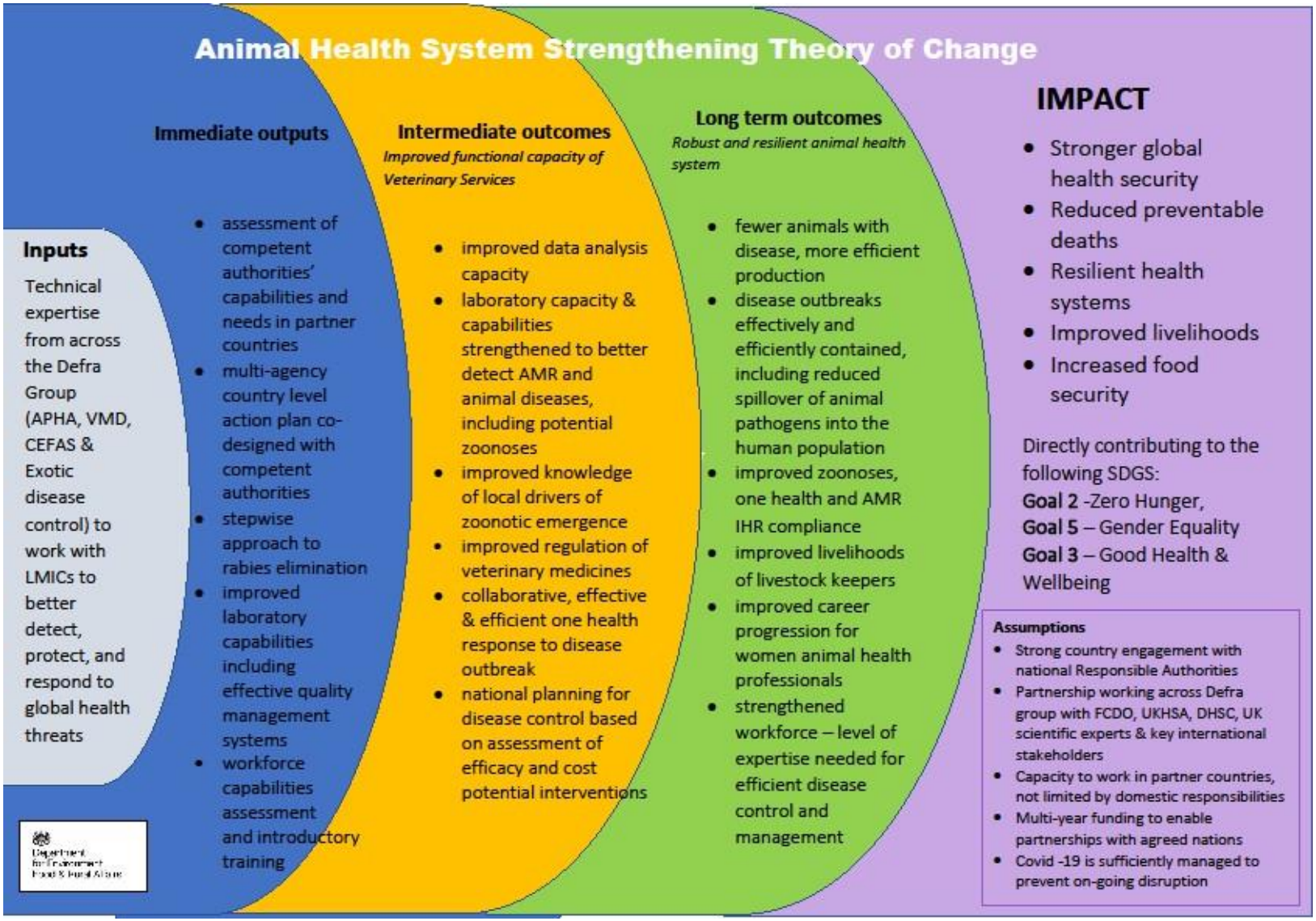

Animal Health System Strengthening Theory of Change
Inputs
Technical expertise from across the Defra Group (APHA, VMD, CEFAS & Exotic disease control) to work with LMICs to better detect, protect, and respond to global health threats
Immediate outputs
assessment of competent authorities' capabilities and needs in partner countries
multi-agency country level action plan co-designed with competent authorities
stepwise approach to rabies elimination
improved laboratory capabilities including effective quality management systems
workforce capabilities assessment and introductory training
Intermediate outcomes
Improved functional capacity of Veterinary Services
improved data analysis capacity
laboratory capacity & capabilities strengthened to better detect AMR and animal diseases, including potential zoonoses
improved knowledge of local drivers of zoonotic emergence
improved regulation of veterinary medicines
collaborative, effective & efficient one health response to disease outbreak
national planning for disease control based on assessment of efficacy and cost potential interventions
Long term outcomes
Robust and resilient animal health system
fewer animals with disease, more efficient production
disease outbreaks effectively and efficiently contained, including reduced spillover of animal pathogens into the human population
improved zoonoses, one health and AMR IHR compliance
improved livelihoods of livestock keepers
improved career progression for women animal health professionals
strengthened workforce – level of expertise needed for efficient disease control and management
IMPACT
Stronger global health security
Reduced preventable deaths
Resilient health systems
Improved livelihoods
Increased food security
Directly contributing to the following SDGS:
Goal 2 -Zero Hunger,
Goal 5 – Gender Equality
Goal 3 – Good Health & Wellbeing
Assumptions
Strong country engagement with national Responsible Authorities
Partnership working across Defra group with FCDO, UKHSA, DHSC, UK scientific experts & key international stakeholders
Capacity to work in partner countries, not limited by domestic responsibilities
Multi-year funding to enable partnerships with agreed nations
Covid -19 is sufficiently managed to prevent on-going disruption

Diagram 1

Objectives

The project objectives are:

- To enhance biosafety and biosecurity through improved veterinary services, laboratory quality management systems and disease surveillance capabilities to reduce the frequency and impact of animal disease outbreaks and minimise the emergence and transmission.
- To enable rapid and effective emergency response to animal disease outbreaks, thus reducing the risk of spill over of animal pathogens into the human population, by developing early warning systems and strengthening intersectoral collaboration of animal and public health systems.
- To improve livelihoods of livestock keepers by reducing losses attributable to disease by a strengthened AHS.
- To improve gender equity in veterinary services by ensuring women are fairly represented in the facilitation and participation of training and development.

Progress will be measured via contributions to improve to PVS Pathway scores and may include the following indicative KPIs:

# of countries project delivered in	# simulation exercises delivered
# of competent authorities supported as result of this project	# and of participants involved in simulation exercise
# and range of training session delivered	# of veterinary laboratories supported
Gender of professional and paraprofessional supported/receiving training	range and # of Laboratory Quality Management Standards - essential quality elements improved
Gender of professional and paraprofessional delivering training	

Critical Success Factors

The Critical Success Factors (CSF) identified below were developed via an iterative process over the past two years, drawing on discussions with specialist adviser and former UK Chief Veterinary Officer (CVO), feedback from the 2020 Spending Review, GAH senior leadership and ongoing discussions with the APHW ODA Technical Advisory Group.

Factors considered critical for the successful delivery of this project are as follows:

- **CSF1: Business Needs** – addresses GAH strategic objectives, and Defra's International Strategy, specifically Objective 3 – enhancing human, animal, plant and environmental health globally, including corresponding sub-objectives.
- **CSF2: HMG Strategic Fit** – is coherent with current key cross-cutting government policies, specifically the Integrated Review, Global Health Strategy, International Development Strategy (in development), and Health Systems Strengthening for Global Health Security and Universal health coverage: FCDO position paper[14].

[14] https://www.gov.uk/government/publications/health-systems-strengthening-for-global-health-security-and-universal-health-coverage/health-systems-strengthening-for-global-health-security-and-universal-health-coverage-fcdo-position-paper

- **CSF3: Supplier Capability** – APHA, VMD and CEFAS, along with specialist sub-contractors, have the capability and capacity to deliver the required services and deliverables.
- **CSF4: Affordability** – Lord Goldsmith approval for up to £5m of ODA budget.
- **CSF5: Potential Achievability** – GAH-ODA along with APHA, CEFAS and VMD have the ability to innovate, adapt, support and manage change and risk, and investment options provide the opportunity to build international strategic and technical capabilities.
- **CSF6: Promotes a One Health Approach** – has the capability, capacity and willingness to effectively interface with animal health, the environment and human health to achieve common objectives.
- **CSF7: Benefits Optimisation** – has the potential to maximise sustainable quantitative and qualitative benefits for focal countries, and secondary direct benefits for Defra and OGDs.

1.3 Economic case

An analysis of the above CSFs against the project's objectives resulted in a long list of investment opportunities, of which seven were shortlisted (see appendix i for detailed information). CSF 7, Benefits Optimisation, is better expressed as a narrative and summarised as an analysis of benefits and risk, as included in the table below.

Short list of options considered

The shortlist of seven investment options were further analysed with recommendations to be carried forward into the final options appraisal or rejected.

Options	Description	Benefits delivered / Risks involved (CSF 7)	CSF score	Reason for short list or rejection
1	**Quadripartite/ Regional Institutions Secondments**	**Benefits:** • Greater reach and impact of inputs for national governments and international organisations and competent authorities. • Develop skills of the secondees, to benefit the UK's home capability as well as future work on international development. • Possible opportunity to co-fund with OGDs promoting a OH approach and offering better value for money (VFM) **Risks:** • May be difficult to shape secondee's responsibilities, to achieve desired project's impact. Very easy for secondee to get absorbed into wider organisational structure.	**10**	Carried forward to shortlist for analysis in years 2 & 3
2	**Country level preparedness and response capability**	**Benefits:** • Aligned with OGDs and key stakeholders to build on their gains to avoid silo working, promote VFM	**9**	Carried forward for shortlist analysis

Options	Description	Benefits delivered / Risks involved (CSF 7)	CSF score	Reason for short list or rejection
	building projects	and OH approach. Quantifiable technical assistance for responsible authorities with wider benefits for livestock owners, farmers, veterinary professionals. **Risks:** • Investment in scoping required to build strong relationships, limited early outcomes.		Strategic approach to building a country-based programme with sustainable impact, in contrast to a series of bi-lateral activities.
3	**Rabies Elimination Project**	**Benefits:** • Exemplar One Health approach. • Builds on existing programme of work early for tangible outcome. **Risks:** • Disease specific out of step with systems strengthening approach.	**9**	**Recommended** - to be folded into a wider country-based system strengthening project Not a PVS technical area. But can be used to illustrate exemplar One Health approach
4	**Bi-lateral support to LMIC to strengthen animal health systems**	**Benefits:** • Quantifiable TA for responsible authorities with wider benefits for livestock owners, farmers, veterinary professionals. • CPD for vet professionals and para-professionals. **Risks**: • Vulnerable to silo working/lacks integrated OH approach.	**7**	**Rejected** – similar offer to option 2, but lacks sustainable scalable country-based approach aligned/ leverage with OGDs/ key stakeholders
5	**COVID – 19 Response Project**	**Benefits:** • Build on existing work, including investment in tackling zoonoses. • Improve responsible authorities' preparedness and response capabilities. **Risks:** • Disease specific – counter to system strengthening approach/PVS Pathway. • Unlikely to build broad investment in APHW's international capabilities. • Lacks flexibility to address country needs beyond COVID 19.	**7**	**Rejected** - as a standalone disease specific project. Better incorporated under a wider health system strengthening approach
6	**Support FCDO & UKHSA/ DHSC delivery through enhanced OH delivery**	**Benefits:** • Access to world class scientific knowledge and technical assistance delivered in a joined up/integrated way for LMICs. • Quicker implementation & VFM.	**10**	**Rejected** - as a standalone project option. But should be considered as a mechanism to build a case for change, for promoting a One

Options	Description	Benefits delivered / Risks involved (CSF 7)	CSF score	Reason for short list or rejection
		• Enhanced benefits for OGDs, trusted partner without engaging in extensive procurement exercise. • Increased revenue stream for Defra. **Risks:** • Dependent on policy objectives and OGDs' funding availability. • Limits Detra's strategic autonomy.		Health approach across HMG
7	**Economic analysis of global burden of animal disease**	**Benefits:** • Critically important work to secure further investment in Animal Health sectors for LMICs, and international stakeholders. **Risks:** • Not affordable on current revised budget. • Aspects of work to be taken forward in One Food Project. • Possible duplication with OGDs.	**10**	**Recommended** to be taken forward to shortlist subject to availability of funding

Table 1 – Short List of Options

Preferred way forward/option

Options	Description/name	
1	***Do nothing*** The project has small core team involved in GAH policy development, along with influencing and development of the business case. Funding is required to implement the above investment options. BAU = Do nothing	
	Whole Costs	
	Non-financial Benefits	
	Ranking:	Rejected/ Discounted Additional resourcing is required to progress this business case. Which is not available under BAU
2	***Do minimum*** In-year funding from available underspend – No ODA hub commitment to continuation funding	
	Whole cost	No guaranteed funding (£2.64m secured over the past two years)
	Non-financial benefits	Benefits difficult to quantify/articulate in advance as it is determined by availability and amount funding, if any granted in-year
	Ranking	Considered/Carried Forward

Options	Description/name	
		Possible, but would not optimize opportunities, would lack the investment in Quadripartite, important for sustainability and strategically at post and the UK for Defra.
3	***Preferred Option*** Country level preparedness and response capability building project, builds on COVID-19 response projects, aligns with UKHSA & FCDO, to deliver a One Health response supported by committed multi-year funding, incorporates Rabies Elimination project as an exemplar One Health approach, internal evaluation. Delivered across 3 countries	
	Whole Costs	£5m
	Non-Financial Benefits	Builds on the solid foundation outlined in option 2 (do minimum) but benefits from economies of scale by delivering the country-based capability projects in up to three focal countries. In-country presence builds stronger relationships, meets needs in a more informed and agile manner, for better and longer-term outcomes. One possible secondment to the Quadripartite/regional institutions to strengthen the project's reach and impact with potential for regional leverage.
	Ranking	**Accepted/preferred option**
4	***Maximum Option*** As above but also includes economic analysis of global burden of animal disease. More than 1 secondment to Quadripartite/ Regional Institutions. External evaluation. Delivered in more than 3 focal countries	
	Whole Costs	£7.m
	Rankings	Discounted – Exceeds current allocated budget

Table 2 - Preferred way forward

1.4 Commercial case

Procurement route

Most funding will be used to help build in-country capability in key areas such as disease surveillance, mitigation, preparedness, and response. This will be undertaken through, training, mentoring, peer-to-peer knowledge and skills exchange, facilitated via a direct award to scientific and veterinary experts from Core Defra – Exotics Disease Control, and ALBs: Animal and Plant Health Agency (APHA), and Veterinary Medicines Directorate (VMD). Specialist third party organisations will also be contracted to deliver technical assistance to compliment Defra's expertise and meet country need. Technical secondments, to key multilateral organisations, (e.g. WHO, OIE, FAO, and UNEP) along with regional institutions (e.g. WAHO, and Africa Centre for Disease Control) operating in the One Health/Global Health Security space, may also be considered to strengthen the regional architecture. This will also include close liaison with posts.

Before embarking on a new procurement process, delivery agencies will explore all opportunities for procuring goods or services including, where appropriate utilising existing contracts or framework agreements (FAs). If elements of the projects need to be contracted out to other agencies for delivery, VFM will be tested by using either an open competitive tendering process or including a robust justification when using a single tendering process.

The government's procurement policy is to buy the goods, works and services that it needs under a fair and open procurement process, guarding against corruption and seeking to secure value for public funds with due regard to propriety and regularity. UK law and World Trade Organisation (WTO) agreements underpin these principles. The specific responsibilities of public sector organisations are set out in the HM Treasury document Managing Public Money from which the following principles are taken:

- Delivering 'Value for Money' through competition - securing the best mix of quality and effectiveness for the least cost over the whole life of the contract.
- Sustainable Procurement - buying goods and services in a way that delivers 'Value for Money' outcomes on a whole life basis, generating benefits primarily to recipient ODA eligible countries, but also to the UK and the economy, whilst minimising damage to the environment.
- Compliance with legal obligations under UK rules and other international agreements.
- Benefiting from collaborative opportunities across Central Government and the Defra Network.
- Managing commercial risk appropriately, including the legal framework, insurance requirements, fraud, corruption, conflicts of interest, payment to suppliers.
- All relationships (suppliers/customers) must be in accordance with the Civil Service Code and Defra's Ethics and Conduct of Staff standard. At all times suppliers must be treated in a fair and transparent manner.

An SLA may be used to form part of the contract and can be used (along with KPI's if relevant) to monitor and measure performance. For poorly performing contracts this can be used as the trigger for remedies and the primary means for withholding payment, when necessary.

The SLA will clearly specify what service levels or performance standards the Contractor is required to meet and the consequences of failing to do so. The specified performance standards should be easily measurable.

Additionally, it is not possible to have binding legal agreements between government departments and so for this reason we use SLA's instead, to record the formal agreement between the parties to the provision of a service.

A summary of types of agreements and where they would be used follows:

- Service Level Agreements (SLAs) – Agreements between Sections, Departments, Divisions within Defra.

- Memorandum of Understanding (MOU) – Agreements between Core Defra, and its Arms-Length Bodies and Other Government Departments, Agencies, NDPB's, public sector organisations etc.
- Contracts and Partnership Sourcing for the provision of goods and services, typically arising from an external contractual relationship. Generally, as a result of issuing an invitation to tender/request for quotation etc.

Key contractual terms and risk allocation

The project will build on previous programmes of work and explore existing third parties with proven relationships and with relevant framework agreements/ contracts in place Where this is not possible new contracts / providers will be procured *via* a competed process.

Efficiencies and commercial arrangement

The project will work with FCDO, to establish a country office and national presence. Staff will either be employed via the FCDO at post on locally engaged contracts or UK-based international contracts. All staff based overseas will be embedded into the FCDO platform at post, which will provide coherence for working terms and conditions, due diligence and safety. This approach will enable staff to be embedded into a wider organisational structure and leverage the benefits of HMG, including logistics, commercial and strategics. A larger in-country presence will reduce the need for frequent long-haul flights which are costly and environmentally damaging. More expensive subject matter experts, UK based staff, will compliment in-country staff via remote support and less frequent international travel.

Delivery agencies with work with Defra commercial to identify and appoint subcontractors to provide a specialised service which would validate the need for any single tender actions.

Delivery model

Most funding will be used to help build in-country capability in key areas such as disease threat detection, prevention, and response. This will be undertaken through, training, mentoring, peer-to-peer skills and knowledge exchange, facilitated by scientific and veterinary experts from APHA, CEFAS and VMD. Defra-group have an extensive and well-established track record of capability-building internationally:

- **APHA** has extensive experience in influencing policy and awareness raising, promoting One Health through joint actions on zoonosis, antimicrobial resistance and emerging microbiological hazards across Africa, Asia and the Middle East. Over the last decade, APHA has delivered world leading technical assistance on vaccine development, on responding to diseases outbreaks at global level, on building strong veterinary infrastructures, on inspection and certification as well as biosecurity. APHA holds international OIE/FAO/WHO and national reference laboratory status for a number of priority animal diseases, including rabies[15].

[15] https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/995927/RefLabsDiagramJune21.pdf

- **VMD** is a leading regulator of veterinary medicines, experienced in providing bilateral national, and regional, support to improve regulatory capacity. VMD leads work to combat AMR and has established an international AMR Reference Centre in partnership with APHA and Centre for Environment Fisheries and Aquaculture Science, working with LMICs to provide technical and policy expertise.
- **CEFAS** will provide technical leadership and oversight for co-ordination of a one health approach.

The project will develop a strategic presence in-country, working closely with post:

- Initially this will include a Veterinary Advisor and Assistant to the Veterinary Advisor employed in each country. The Veterinary Advisor will establish a visual presence in country, act as the point of contact for key stakeholders, represent Defra at strategic country level meetings and be responsible for the oversight of day-to-day activities required to meet the workplan objectives for that country. The Veterinary Advisor and Assistant to the Veterinary Advisor will be directly employed by Global Animal Health via the FCDO will be accountable to the Oversight Board. Their specific roles and responsibilities will be outlined in the project implementation document to be developed following project approval.
- Defra's UK based visiting team and external partners, will complement the in-country team with subject matter expertise training and special events

Defra will establish an MoU with each ALB, outlining expectations and responsibilities, including outputs and outcomes. It is anticipated that the ALBs will issue sub-contracts with relevant delivery partners to complement their work. This will be done via existing framework agreements, competitive tendering process or STAs (where appropriate). Contractor compliance will be managed by ensuring that the contract terms of reference clearly specify objectives, measurable indicators and targets, with dates. Contracts will include KPIs and clauses to cover poor performance.

1.5 Financial case

High level summary

The AHSS project is funded from ODA budgets, under the theme of Global Health Security, and forms part of Defra's ODA's Portfolio for the 2023-25 Spending Review period. A budget of up to £5m was approved by Minister Goldsmith on 17th January 2022. £1.6m has been allocated for year 1 (FY 2022/23). Revised to £1.1m following a request to reprofile. The Minister has agreed a year-one review to inform budget allocations for FYs 2023/24 and 2024/25.

The budget allocation and staffing

Programme	**Allocation 22/23**		***Indicative 23/24***		***Indicative 24/25***		**Staffing Number**
	RDEL	**CDEL**	***RDEL***	***CDEL***	***RDEL***	***CDEL***	
Strengthening Animal Health Systems	£1.1m		*£1.8m*		*£2m*		2.2 (G7,HEO, HEO/SEO MEL)

*Table 3 * Revised June 2022*

Financial appraisal

The spend for the first year (2022/23) of project will be an iterative process. Q1, activities will include stakeholder engagement, in-country scoping, resulting in a country needs-informed workplan. Costs will largely be attributed to core staffing and travel. Q2- Q3 will be informed by ongoing stakeholder engagement and delivery of the identified preliminary activities. Q4 Will include a review of year 1 performance and delivery of remaining agreed activities. Funding will be disbursed in four tranches via the Risk and Ops mechanism based on the costed workplan, aligned with the above timeframes. A flexible and agile mechanism is needed to disburse funds in line with country needs, as they are identified throughout the duration of the project and to facilitate an integrated One Health approach, to work flexibly across workstreams. This approach is in contrast to the default approach which of disburses funds at the start of the project along organisational lines but reinforces working in silos.

The costed workplan, with corresponding activities and will be reviewed by the Oversight Board for coherence, alignment to the Theory of Change and value for money and funding awarded on their recommendation. Funds (cash and resource) will be reconciled at the end of each via monthly financial reports to the PMO and directly to Defra Central Finance via the Risks and Ops Mechanism.

1.6 Management case

Project management

The project will be delivered under the responsibility Global Animal Health, which forms part of Animal Plant Health and Welfare, under the Food, Farming and Biosecurity (FFaB) Directorate. The Senior Responsible Officer (SRO) is Head of International Engagement & One Health. The Project Responsible Officer (PRO) is Global Animal Health, ODA Programme Manager. The Animal Health System Strengthening Oversight Board, (for which the SRO will chair) is the main oversight and due diligence mechanism for the project. Operational decision making is delegated to the Senior Leadership Team and Programme Management Office (comprising of 0.2 x Strategic Lead, 0.2 x Technical Advisor, 1x Programme Manager, and 1x Project Support). The governance structure detailed below, will be implemented to effectively oversee the development and delivery of this project. The key elements are:

1. **Defra ODA Board** chaired by Director General of International and Borders, which oversees all Defra's ODA programmes.

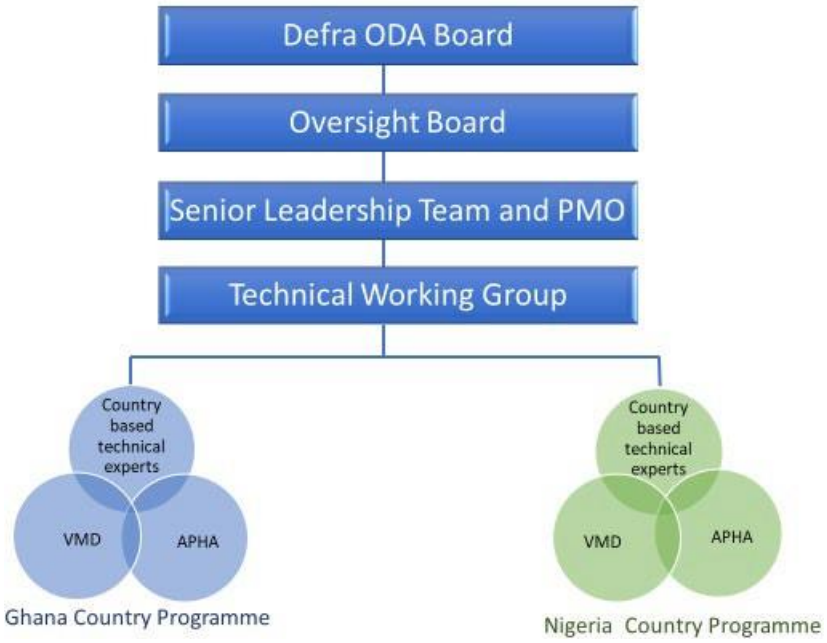
2. **Oversight Board** chaired by the Deputy Chief Veterinary Officer and Global Animal Health Deputy Director, with representation from theproject SRO and PRO, lead delivery agencies (APHA and VMD) other relevant government departments including DHSC, UKHSA, FCDO and Defra ODA Hub. The Oversight Board will be responsible for the strategic direction and due diligence of the project and assurance that the project remains on course to deliver the desired outcomes to the standard stipulated in the business case, including opportunities for alignment and collaboration across HMG. Oversight Board will meet on a bi-monthly basis. (See appendices II for Terms of Reference).

3. **Senior Leadership Team and PMO** will be responsible for the day-to-day leadership decisions, technical review and challenge of work packages and activities developed and delivered by the TWG to ensure value for money, a robust scientific evidence base, best practice and the adaption of a One Health approach. They will also monitor progress against key milestones, risks and opportunities and prepare project level reports for submission to the ODA hub and the Oversight Board. Representation includes the technical lead, SRO and PRO.

4. **Technical Working Group (TWG)** will meet on a regular basis and bring together experts from technical areas involved in the delivery of the project, from Defra (animal health, plant health, veterinary medicines and AMR) along with in-country staff, in partnership with external organisations and academia (where relevant), to plan, discuss and review delivery including progress towards key milestones, proactively address implementation issues and to ensure coherence across the project, complimenting monthly progress reports. The TWG will evolve from the Technical Advisory Group (interim structure involving GAH-ODA, VMD, Cefas and APHA responsible for informing the development of the project from initial concept to business case).

   Working-level cross-Whitehall engagement will continue through Global Health Alignment and One Health ODA alignment meetings to ensure a joined up, One Health approach.

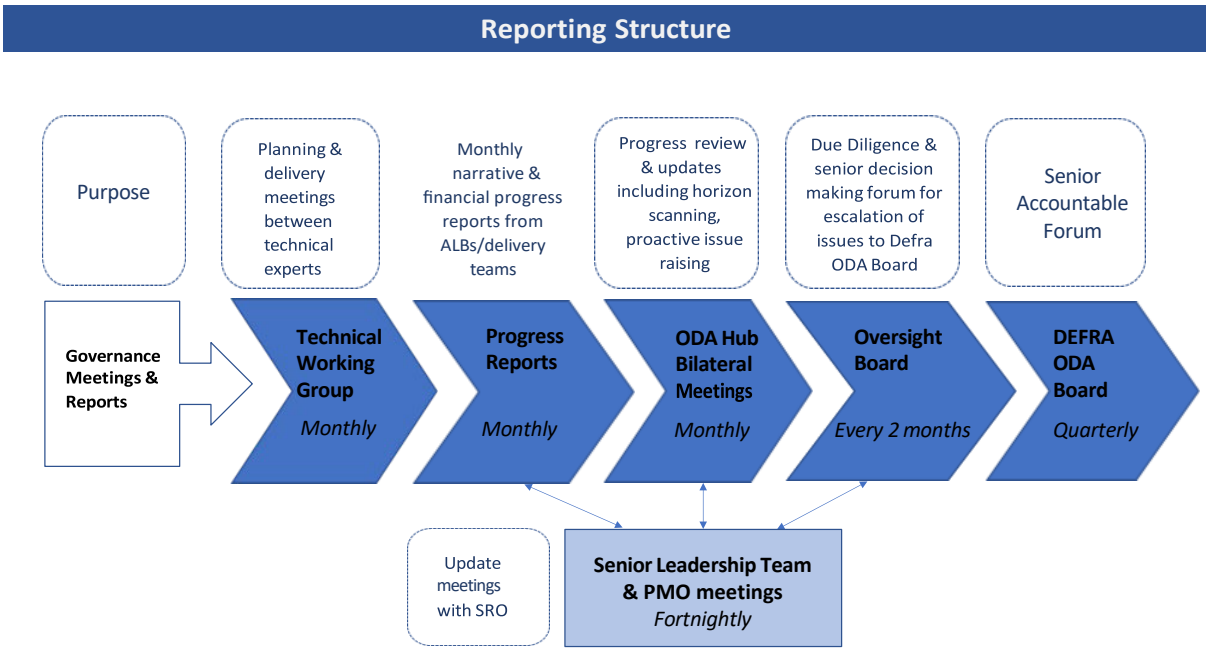
Animal Health Systems Strengthening Governance Structure



Senior Leadership Team and PMO will review monthly reports and issues arising from the TWG (where relevant) to inform agenda items and updates for the Oversight Board meetings.

The SRO will report to Defra ODA Board on a quarterly basis. This will be complimented by PRO monthly progress reports and bilateral meetings with the with the ODA Hub, to monitor progress towards key milestones, risks and spend. The

reporting cycle is illustrated below.



This project forms part of Defra's ODA Portfolio and will be designed and delivered in line with the project management methodologies detailed in Defra's ODA Operating Manual and Agile project management principles. Where possible it will build on existing relevant programmes of work, including but not limited to the ODA funded 2020/21 COVID-19 Response project and the 2021/22 Animal Health System Strengthening-Short Project, and adopt a phased approach to build an effective project.

Annual work plans will be developed at the country level and monitored across the different work packages. Annual reviews will assess progress towards key milestones, enabling lessons learned, new intelligence and emerging opportunities to be incorporated into the project. Milestones and outcomes will be assessed through a monitoring and evaluation framework, including monthly progress reports, appraisal against the logframe, annual reports and evaluation.

Table 5: Risk Management

Risk	Type	Owner	Rating	Mitigating actions
Project Scope	Strategic	GAH-ODA	Low/Medium	Maintain broad stakeholder xHMG engagement - including regular communication with FCDO, UKHSA and Fleming Fund (DHSC) to explore opportunities for collaboration on the delivery of the AHSS project in Africa. Identify potential gaps for Defra to fill as a USP. In person kick-off meeting with ALBs to re-emphasise scope and re-visit ToC scheduled for 13/04/2022.
Potential for duplication of effort across other HMG and other international partners (World Bank, US CDC, BMGF)	Operational	GAH-ODA	Medium/	The project will continue with engagement across HMG to understand current and emerging plans, to avoid duplication. The project will continue to feed into the country plans process, proactively engaging with Heads of Missions, and relevant advisers at post to maximize the potential in-country, building on previous successes, learning from previous failures. Defra is aware of this risk of duplication with external stakeholders and feels that a CVO-to-CVO relationship, supported by intelligence at post may help to mitigate the risk of duplication.
Business Case not completed/approved by April 2022	Operational/ Financial/ Reputational	GAH-ODA/ ALBs	Medium/High	Agree project's scope, delivery model and workplan with ALBs. Engage and secure additional support from SRO, Technical Lead, Defra Portfolio, APHW Economist/Analyst where needed to complete on time. Regular engagement with DgC to ensure for compliance and assurance before final submission
Security Risk	Operational/ Strategic	GAH-ODA/ ALBs	Low/Medium	Staff receive appropriate security training, including SAFE & security training at post. Defra to sign up to FCDO platform service, FCDO security guidance followed.
COVID-19 impact on delivery	Operational/ Financial/ Reputational	ALBs	Low/Medium	Explore alternative options with OGDs e.g., use political economy analysis for shortlisted focal countries conducted by other ODA Defra funded programmes or OGDs or replace in-country visits with desk-based research, if required.
Major animal disease outbreak in UK diverting staff from ODA funded work	Technical	ALBs	Low/Medium	Ensure that Defra's role is supporting development of capability rather than replacing it in LMICs, so that they are resilient to any lack of Defra input during an emergency in the UK.
ALB Capacity	Operational/ Financial	GAH-ODA/ ALBs	Medium/High	Staffing needs identified as soon as possible. Recruitment for pipeline specialist posts/activities including PMO commence asap. Reprofile budget where possible. Submit exemptions to recruitment freeze, use sub-contractors where possible, Build team capacity building into MEL. Including Quarterly working together days

Lack of interest or absorption capacity of partner countries to fully engage	Operational/ Financial/ Technical	GAH - ALBs	**Low-Medium Risk**	In-scoping visit to assess needs on the ground, work with countries with previous understand of needs. Participate in regional activities for strategic oversight, to raise awareness of project better understand need as contingency plan to pivot to other countries if needed.

Assurance, approval & post project evaluation

The PMO will work with APHW analysts to develop and coordinate a robust monitoring, evaluation and learning strategy and action plan, linked to milestones and objectives during the design phase. KPIs will be informed by the OIE PVS Pathway[16], where progress will be tracked against indicators in the logic model, and success measured by improved PVS Pathway scores, reduced disease outbreak and gender equity.

A framework for organisational learning will be developed to baseline knowledge, encourage feedback from training sessions and ensure lessons learnt are embedded into future project activities. MEL activities will include the appropriate types of evaluation including process and impact evaluation, to allow us to understand how the project is working and its progress/results. The PMO will produce regular reports in-line with ODA Hub reporting requirements. Internal monitoring will be complemented by a formal annual review, conducted by the ODA Hub to review progress and performance and inform years two and three funding. Progress against key milestones will be reviewed, workplans and spend profiles will be reviewed and agreed by the Oversight Board. A project closure report within three months of end of the project

The development of this business case has been an iterative process and produced by Global Animal Health Programme Management Team, in-consultation with specialist adviser former Chief Veterinary Officer, Defra's ALBs APHA, CEFAS and VMD for technical input and coherence and OGDs including FCDO and UKHSA. The business case will be internally reviewed for approval by the SRO, UK Deputy Chief Veterinary Officer and shared with the ODA Hub. An addendum with be produced for years 2 and 3 detailing the spend profile and any other changes arising from the year 1 review not covered in this business case.

Recommendation

- The desired impact of this project is to strengthen animal health systems and associated technical capabilities in ODA-eligible LMICs. Professional workforces developed in skill-shortage areas (such as laboratory diagnosis and epidemiological surveillance) will have an improved capability to detect, prevent, and respond to animal health threats in partner countries.

- This project will indirectly contribute to 14 of the UN Sustainable Development Goals: particularly SDG 1 (no poverty), 2 (zero hunger), 3 (good health and wellbeing), 14 (life below water), and 15 (life on land).

- It will demonstrate international leadership by building capabilities in the target countries, specifically through implementing concepts relating to disease, food safety, and reducing the global risk of AMR.

- It will directly contribute to the Integrated Review and Defra group outcome framework 2021-22 including: Priority Outcome 4: Agriculture, food, fisheries, animal welfare and biosecurity, specifically 4.4: Enhanced animal health and welfare and plant health; Departmental Outcome 5: Strengthening the union and international, specifically 5.5: Enhance human, animal, and environmental health globally.

16 https://www.oie.int/en/what-we-offer/improving-veterinary-services/pvs-pathway/

- This project will meet the 25 Year Environment Plan goals to: Enhance biosecurity, by working with industry and governments to reduce the impacts of endemic diseases, manage and reduce risks of disease and emerging threats, protect our borders by reducing risks from commodity imports, and protect and conserve nature by reducing the risks posed by aquaculture to the environment.

- By aligning the work programme to the Defra group International Strategy, and International Reference Laboratories and Collaborating Centres in Defra group, we will establish and maintain enduring relations between responsible authorities, agencies, academic centres, and other stakeholders in Ghana, Nigeria, and the UK.

Appendix i

Critical Success Factors

Table 1- Assessment of long list investment options against critical success factors (CSF 1-6)

Long listed investment options	CSF1 Business Needs [17]	CSF2 HMG Strategic Fit[18]	CSF3 Supplier capability	CSF4 Potential Affordability	CSF5 Potential Achievability	CSF6 Promotes a One Health approach	Score
1. Tripartite Secondments	2	2	2	0	2	2	10
2. Country Level Capability Building Projects – including zoonotic Preparedness and response only (includes options 4 a c, d & e)	2	2	1	0	2	2	9
3. Country Level Capability Building Projects – Sustainable Food Systems only	2	1	1	0	1	2	Out of scope
4. Country Level Capability Building Projects – integrating pandemic preparedness and foods systems (includes 4a, c & d, e)	2	2	1	0	1	2	Out of Scope
a. Rabies Elimination Project	2	1	2	1	1	2	9
b. Phytosanitary capacity building in developing countries exporting to the UK	2	1	2	0	1	0	Out of Scope
c. Emerging Viruses Research	2	2	2	0	2	1	Out of Scope
d. Bi-lateral support to LMIC to strengthen animal health systems	1	2	2	0	1	1	7
e. Covid – 19 Response Projects	1	2	2	0	1	1	7

[17] Informed by Defra Group International Strategy & GAH business plan
[18] Informed by Strategic Framework for ODA, Integrated Review and Nature Strategy

5. Support FCDO & PHE/DHSC delivery through enhanced OH delivery	1	2	2	2	1	2	10
6. Economic analysis of global burden of animal disease	2	2	2	0	2	2	10
7. GalvMed – zoonotic disease vaccine supply	1	2	2	0	1	2	Out of scope

Key, 2= fully met, 1 = partially met, 0 = not met at all

Appendix ii

Animal Health System Strengthening Governance Structure

1. Purpose and Objectives

The purpose of the Animal Health Systems Strengthening (AHSS) Oversight Board is to act as the main due diligence mechanism for the delivery of the Animal Health Systems Strengthening project. This ODA funded project will work with responsible authorities in Lower- Middle Income Countries (LMICs) to build resilient health systems by strengthening animal health systems capabilities, to better protect detect and respond to known and emerging diseases through a one health, all-hazards, system strengthening approach, improving livelihoods, enhancing global health security, and working towards preventable deaths.

Given the overlap of membership between AHSS project, and the One Food (OF) project, Board meetings will be held to align with One Food Oversight Board Meeting and will run 70 minutes preceding One Food Board meetings.

2. The remit of the Animal Health Systems Strengthening Oversight Board includes:

- Review and approval of annual workplans
- Final decision making on list of focal countries
- Project Finance
- Project Progress
- Project Risks and Issues
- Spending approval for ad-hoc work
- Acting as an escalation point and conflict resolution mechanism for any issues arising during the project
- Providing strategic oversight of relevant issues within Defra and across Whitehall.

3. Proposed Agenda

- Review of actions
- Delivery Plan
- Forward Look
- Risks & Issues
- Project Finance
- [Reserved for specialist updates/papers]
- AOB

4. Frequency: Once every 2 months

5. Proposed Attendees

- GAH Senior Leadership Team (International Engagements and One Health Lead/AHSS SRO, Global Animal Health Deputy Director, and AHSS Technical Advisor)
- GAH Programme Manager (Defra)
- Global Health Security Lead (FCDO)

- United Kingdom Health Security Agency (UKHSA)
- Delivery Lead (alternating between APHA and VMD)
- Secretariat (GAH)
- ODA Hub Representative
- Other - invited for relevant discussions.

6. Key Principles

- The board provides strategic direction and ultimate decision-making authority
- Attendees that are unable to attend should send a sufficiently empowered deputy
- Non-attendance (without a nominated deputy) counts as approval for decisions being made
- In order to be quorate, a minimum of the chair plus one core attendee from one other member of the GAH-ODA Senior Leadership Team, delivery lead must be in attendance
- The general approach to discussion and decisions will be focused on positive problem solving and finding solutions to issues.

7. Inputs

- Project overview update, including project finances, RAID log, high level summary across all workstreams and up to date delivery plan
- Updates/papers as agreed by the chair and secretariat
- A notice of meeting confirming the time, date and location three working days prior to the meeting.

8. Outputs

- Minutes detailing salient points, decisions and actions following each meeting will be produced and circulated by the secretariat once signed-off by the Chair
- Key decisions to be added to the project RAID log
- Approval of items (subject to agreed changes) requested by Animal Health System Strengthening Technical Working Group.

9. Roles and Responsibilities

Chair
Senior Responsible Officer (SRO)
Project Responsible Officer (PRO)
Secretariat - GAH-ODA

Appendix iii

APHA Internal Governance

APHA has well-developed internal project management procedures, which are ISO 9001 accredited. They successfully manage and deliver complex projects for a wide range of customers including Defra.

APHA has the following management systems in place:

- The Single Operating Platform (SOP) is run by our shared service provider, Shared Services Connected Ltd (SSCL) – a platform that all staff use for time recording to projects, procurement requests and procurement authorisation, ensuring budgetary control.
- Project Management – Time, quality and cost parameters are agreed with the customer and controlled internally to enable the project to be managed efficiently, and to ensure that these criteria are met. This has to be approved by the Commercial and Science Project Approval Group (CASPA).
- Staff management systems – Staff are set individual objectives that are updated during the year through performance management, which helps to ensure contracts are delivered on time to a high standard.

Within APHA each new project is placed into a Portfolio with Commissioning, Agreements & Project Support team (CAPS), part of the Science, Strategy and Planning (SSP) team. The SSP team assigns a Project Manager. The Programme Manager, Project Leader (PL) and Project Manager (PM), and the Task Leads work together to deliver all elements of the project. The PL is responsible for implementing an appropriate project plan, data plan, risk register and project schedule (including tasks, deliverables, milestones, and meetings (internal and external) as well as managing the agreed budget). The PL will report to the Animal and Plant Health Welfare ODA Technical Advisory Group monthly. The PL is responsible for ensuring resources required for project completion are scheduled, trained, and available; briefing team members so they are fully aware of their roles and responsibilities and holding project team meetings as necessary; Both the PM and PL are responsible for ensuring project reviews are conducted for all deliverables and substantive client and stakeholder communications; and ensuring appropriate contracts are in place and signed before work commences.

The proposed team for this project consists of experienced, permanent staff with significant scientific and programme management experience in the areas covered by the project. In addition, the project team has, for several years, contributed to the delivery of other important, and highly visible, international projects for Defra and other government customers.

Stakeholder engagement will be undertaken. A communications plan will be put in place detailing all key actors, their roles and influence to ensure the project objectives are achieved.

This project will follow the APHA project management guidance, policies, and procedures. First, the Lead Scientist will make an outline business case consisting of cost analysis, strategic importance, and benefits, to CASPA for approval to agree that

the project is financially, strategically, and logistically viable. This forms the first approval stage of the project.

With this approval, Lead Scientist and Programme Manager engagement with appropriate APHA leads begins. This includes working with people managers, resource managers, technical experts, commercial teams, health and safety, business development and science colleagues, to expand the business case and agree a suitable programme of work. This will form the detailed business case or ‘bid’ which will then go through a proposal review and submission.

Once through this stage, if approved, the PL will commence a project start up meeting to discuss and set the implementation/execution stage of the project. The project will then start delivering as per the programme of work defined in the business case. The PM will execute the project management plan, tracking progress, budget and milestones. At set points in the project, as agreed with the Programme Manager, the project will undergo project reviews/evaluations to report the situation and ‘health’ of the project. A decision will be made to continue work or stop depending on the outcome. This process will continue until all milestones and deliverables are complete.

Finally, the project will enter the handover and closure stage. If the Programme Manager is content that delivery and milestones are achieved the end product(s) will be handed over to the end user who will also be expected to officially approve that the project outputs meet specification and are fit for purpose. If these criteria are met, the PL will initiate the post-project review. Lessons learned will be collated and shared with the wider teams and feed into continuous improvement systems. Benefits realisation will be done by the Defra ODA team if no further budget is available past project completion.

Appendix iv

VMD Internal Governance

VMD has well-developed internal project management procedures; we are ISO 9001 and ISO 27001 accredited. We successfully manage and deliver complex projects for a range of customers including The Bill & Melinda Gates Foundation and The World Bank.

VMD has the following management systems in place:

- Financial Management – a dedicated finance team that work with project managers to monitor project spend
- Project Management – Time, quality and cost parameters are agreed with the customer and controlled internally to enable the project to be managed efficiently, and to ensure that these criteria are met.
- Staff management systems – Staff are set individual objectives that are updated during the year through performance management, which helps to ensure contracts are delivered on time to a high standard.

Within VMD the project is assigned to the Project Lead (Sponsor); Head of VMD's International Office, IO; a Project Manager (PM) within the IO; and relevant Technical Leads from across the organisation. The PM and Technical Leads work together to deliver all elements of the project. The PM is responsible for implementing an appropriate project plan, risk register and project schedule (including tasks, deliverables, milestones, and meetings (internal and external), managing external contractors, as well as managing the agreed budget. The Technical Leads are responsible for ensuring internal technical resources required for project completion are available and briefing team members, so they are fully aware of their roles and responsibilities. The PM is responsible for ensuring project reviews are conducted forall deliverables and substantive client and stakeholder communications; and ensuring appropriate contracts are in place and signed before work commences. The PM reports on project progress to the internal International Development and Training Forum (IDTF), a board composed of technical, operational, and finance representatives that will review progress, are responsible for proposing mitigation action in the event of delivery risk, and ultimately refer to the International Steering Committee.

This project will follow the VMD project management guidance, policies and procedures which follow project management principles set out by the Association of Project Management (APM). The Project Lead makes an outline business case to VMD Senior Leadership team who will (and have) review the aims and objects of the project and approve it to progress to the development stage, if they agree the project is financially, strategically, and logistically viable. This first approval stage of the project has been completed.

With this approval, and once funding is secured, the assigned project manager will expand the business case and develop the programme of work, in consultation with Technical Leads and operational units. This will form the detailed business case which will then go through a review by the Project Lead before submission to the SRO

(Director of Authorisations) who then decide whether to progress with the project based on defined criteria e.g., strategic importance, cost/benefit, risk.

Once through this stage the PM will commence a project start up meeting to discuss and set the implementation/execution stage of the project. The project will then start delivering as per the programme of work defined in the business case. The project manager will execute the project management plan, tracking progress, budget, and milestones. At set points in the project, as agreed with the Project Lead, the project will undergo project reviews/evaluations to report the situation and 'health' of the project. A decision will be made to continue work or stop depending on the outcome. This process will continue until all milestones and deliverables are complete.

In addition, the project performance will be discussed during existing monthly APHW ODA Technical Advisory Group meetings. This will allow for delays, risks, and potential problems to be managed.

Finally, the project will enter the closure stage. If the Project Lead and SRO are content that delivery and milestones are achieved and the end product(s) are officially approved, the project manager will initiate the post-project review. Lessons learned will be collated and shared with the wider teams and feed into continuous improvement systems.

Senior Responsible Owner (SROs) and Programme Responsible Owner (PROs)
Role Profiles and Responsibilities
Defra ODA Programming

This note is designed to help inform appointments at the programme/project and leadership level based on the FCDO Programme and Operating Framework (PROF)

- **All DEFRA ODA programmes must have a named Senior Responsible Owner (SRO).**
- The SRO is accountable for a programme or project meeting its objectives, delivering the required outcomes and making the expected contribution to the higher-level objectives.
- **The SRO is supported by a Programme Responsible Owner** (Defra Project Manager). The PRO is accountable to the SRO for driving on a day-to-day basis, the delivery of the programme outcomes within the agreed time, cost and quality constraints. This includes effective management of risk, compliance with the rules, objectivity about performance and design and adaptation of the programmes to uncertain of changing contexts.

Principles for assigning the SROs roles
The assignment of SRO and Project roles should ensure clarity on who is accountable for projects and programmes, what they are accountable for, and what decisions they are able to take.

Further useful information on selection principles can be found here FCDO PRoF Guide.

Programme SRO Role

Profile Accountabilities
The SRO for a programme/project is accountable for a programme meeting its objectives, delivering the required programme outcomes and making the expected contribution to ODA outcome and Defra's Outcome Delivery Plan (ODP).

Specifically, the SRO is expected to ensure:

1. The programme/project makes the expected contributions to programme outcomes and Defra's wider ODA outcomes in the Outcome Delivery Plan that the programme is designed to contribute to.
2. The strategic direction of the programme/project remains aligned with Defra, ODA and ODA/ICF (where appropriate) priorities.
3. That HMG Country Offices are aware and content with programmes/projects working in respective countries.
4. The programme/project is sufficiently resourced to enable effective and efficient delivery, taking into account the complexity of the programme.
5. There is a clear understanding of the programme/project risks, and an agreed risk appetite.
6. Any significant concerns about feasibility, value for money, or risks that crystallise or exceed the agreed appetite, are escalated through the appropriate channels.
7. Defra expectations of implementing organisations are clearly communicated and reflected in the partner funding arrangements
8. All ODA spend is compliant with the Official Development Assistance rules and

all spend represents value for money.

The programme SRO is accountable to the relevant deputy director. Responsibilities:

- The SRO for a programme is responsible for strategic oversight of the programme they are accountable for, holding the programme team to account in ensuring effective delivery, and providing overall leadership, decisions and direction.
- Owning the vision for the programme, ensuring there is clarity in the team about the policy objectives and outcomes the programme is expected to contribute to.
- Ensuring the capability and capacity needed to manage the programme are identified in the management section of the Business Case.
- Ensuring programme complexity is managed with the right expertise and experience within the team.
- Ensuring any concerns, sensitivities or risks in the programme are understood by the team, with clear processes for managing and escalating them.
- Challenging the programme team on whether the programme is making the expected contributions to higher-level outcomes, and the evidence for that contribution.
- Ensuring a professional handover of role of SRO when moving posts**.**.

Capabilities required in SROs roles

As far as possible, programme and project SRO roles should be assigned to people who have experience in a number of the key competencies which include:

- Technical/ programme experience in the programme's area of work.
- Organisational awareness and understanding of how the programme can contribute to Defra's strategic objectives and wider HMG ODA objectives.
- Policy influencing and diplomatic skills, including strategic negotiation with suppliers and stakeholders.
- Understanding of Defra's operating and policy framework and ODA delivery.
- Core civil service competencies.
- Financial and commercial awareness.
- Programme management awareness.

The SRO does not need to be an expert in all of these areas, and the balance of experience and competence required will depend on the complexity of the programme and the stage of implementation.

Effective behaviours of SROs include:

- Takes a strategic view of how the programme can best contribute to the objectives and goals of their division, ODA outcomes, Defra's Delivery Plan, and relevant plans at a country level.
- Challenges the programme to maximise its contribution to those objectives.
- Creates a safe environment based on trust for constructive working relationships.
- Generates open dialogue on lesson learning and failure and sharing across Defra.
- Enables and challenges the programme to adapt and respond to change.
- Is comfortable and confident in engaging with, listening to and learning from internal and external stakeholders, constituents and delivery partners.
- Is creative to maximise the resources available.
- Values scrutiny and assurance and is open to challenge.

- Shows the commitment to their personal and professional development and the development of those around them.

Programme Responsible Owner (PRO)/ Defra Project Manager Role Profile
It is helpful to set compare the SRO role alongside the Project Manager role. This is based on the FCDO's PRO role profile. All Projects should have a PRO function.

Accountabilities
- Drive delivery of outputs and achievement of the outcomes set out in the programme's approval documents (Strategic Outline Case, Business Case), within the agreed time, cost and quality constraints.
- Design and adapt programmes to changing contexts, based on learning and feedback, including from beneficiary and constituent engagement.
- Ensure the programme is implemented on in compliance with the Defra ODA operating guidance and Defra controls and assurance processes.
- Take stock, at regular intervals, on the continued relevance of the programme, taking action to improve, restructure or close where appropriate.
- Ensure that the main risks associated with the programme are documented, mitigated where it is proportionate to do so, monitored and escalated promptly where necessary.

The project manager/ PRO is accountable to the Senior Responsible Owner for the programme or the appropriate senior delegate.

PRO Responsibilities
The programme SRO should have strong oversight and provide the appropriate amount of support and guidance to the PRO/ Programme Manager. The programme manager/ PRO is responsible for leadership within the programme team. Specifically:
- Providing overall direction throughout the programme cycle.
- Ensuring a clear theory of change links the programme activities to the intended outcomes and impact, recognising where there is uncertainty and an adaptive approach might be needed.
- Being realistic regarding the results, risks, costs, value for money and timings in programme design and delivery (accountable to the SRO).
- Engagement with delivery partners, government partners, communities, and other stakeholders to ensure changing local contexts drive delivery decisions.
- Monitoring the delivery of objectives and results, ensuring annual and programme completion reviews are based on evidence and give an objective account of programme performance, and ensuring recommendations from the reviews are followed up and implemented.
- Ensure that the main risks associated with the programme are clearly articulated in the Business Case and documented in a risk register, that proportionate mitigating actions are implemented to reduce the risks, that regular monitoring of risks and mitigations is conducted and documented and that risks are promptly escalated where they are rated major/severe; exceed risk appetite or cannot be resolved by the team without wider support.
- Being objective about areas of under-performance, taking appropriate action to improve, restructure of close.
- Adapting programmes to changing contexts, based on learning, performance and feedback.

- Full compliance to ODA and Defra operating manual rules and remaining on top of regular updates.
- Ensure that there is effective financial management of programmes – including accurate forecasting, budget profiling, and effective controls over expenditure.
- Ensuring the programme team maintain accurate and up to date records and key documentation, ensuring that publication of programme information is done in accordance with ODA/Defra transparency policy, and the agreed processes for managing security concerns or sensitivities in the programme.
- Ensure professional handover of the programme management/ responsible owner when role moving posts.

PRO/Programme/Project Manager Competences

The PRO (senior PM) is a day-to-day leadership role within a programme team. The depth of competencies required will depend on the scale and complexity of the programme for which they are responsible, and other skills and expertise within the programme team.

Key competencies include:

- Technical/ management expertise in the programme's area of work.
- Policy influencing and diplomatic skills, including strategic negotiation with suppliers and stakeholders.
- Understanding of Defra's and ODA operational framework.
- Core civil service competences.
- Financial and commercial knowledge and experience.
- Programme management knowledge and experience.

Effective behaviours of programme managers include:

- Takes personal responsibility for programme decisions and feels empowered to choose the right approach for the individual programme in collaboration with the SRO.
- Works with teams/colleagues and SRO to ensure clarity regarding roles and responsibilities for delivering the programmes (setting the priorities for programme delivery, while creating the space for others to manage day to day programme management).
- Creates a safe environment based on trust for constructive working relationships with partners and colleagues.
- Generates open dialogue on lesson learning and failure and sharing across Defra.
- Enables and challenges the programme to adapt and respond to change.
- Is comfortable and confident in engaging with, listening to and learning from external stakeholders, constituents and delivery partners.
- Is creative to maximise the resources available.
- Sees risk management as a behaviour rather than a compliance task.
- Values scrutiny and assurance and is open to challenge.
- Shows commitment to their personal and professional development and the development of those around them.

ODA Hub, May 2022

Annex G

Department for Environment Food & Rural Affairs

Seacole Building
2 Marsham Street
London SW1P 4DF

T: 03459 335577
helpline@defra.gov.uk
www.gov.uk/defra

6 April 2022

From
International Biodiversity and Climate Director (Director for ODA)

DELEGATED BUDGET AND AUTHORITIES 2022/23

The Department's expenditure is administered under formal delegations issued by HM Treasury. As Director for ODA, I am personally responsible for ensuring that the ODA spending teams have a high standard of corporate governance and exercises effective controls over the management of resources.

As Director for Animal and Plant Health, you are responsible and accountable, through me as Director for ODA, to the Principal Accounting Officer (PAO) for this ODA and its use of resources.

As the Director responsible for Animal and Plant Health Directorate, I am pleased to inform you of your ODA budget allocation for Financial Year 2022/23 and indicative budgets for 23/24 and 24/25 to help with planning purposes.

Please be aware that due to the timing of this letter, the Main Estimate figures are subject to final confirmation from HM Treasury – the ODA Hub will notify you if there are any changes after the date of this letter. Your delegated authority is subject to the limits shown in Table 1. The indicative allocations for 2023/24 and 2024/25 formed part of the multi-year settlement from SR21 but will be confirmed through future years' business planning rounds.

The budget allocation and staffing for your ODA programme/activities is as follows:

Table 1.

Programme	**Allocation 22/23**		***Indicative 23/24***		***Indicative 24/25***		**Staffing Number**
	RDEL	**CDEL**	***RDEL***	***CDEL***	***RDEL***	***CDEL***	
Strengthening animal health systems	£1.6m		*£1.7m*		*£1.7m*		2 (G7 and HEO)

Your staffing allocation must be funded from within your overall ODA programme allocation

As the Director responsible for this ODA programming, this letter confirms that we are transferring responsibilities for this programme to you. This letter highlights responsibilities for the ODA spend specifically in addition to the DAD Defra requirements also set out below.

ODA Financial Reporting

You are responsible for the delivery of this programme and mitigation of any changes that may result in a change in forecasted spend. You are also responsible for ensuring accurate and timely reporting of forecasted spend (in both cash and resource accounting terms) and any changes to your forecast, to the ODA Hub on a monthly basis. Your ODA Finance Business Partner, ODA Hub and ODA payments team will support you to manage your expenditure within the requirements of this delegation.

In line with all spending requirements, we ask that you ensure that appropriate records and evidence are available to meet control and audit requirements for the preparation of the Department's Annual Report and Accounts, that any potential underspend or pressure is reported early to the ODA Hub and that you aim to spend 80% of your budget, where possible, by the end of the calendar year. This is important to meet the ODA cash allocation by end December 2022.

ODA budgets are ringfenced and as such, you must ensure that the correct coding is used for all payments that you are responsible for. This will ensure that spend is correctly attributed to your programme and will mitigate the risk of audit error. Please speak with the ODA Finance Business Partner if you are unsure of the correct coding to be used.

Your financial position should be reported through teams to the ODA Hub monthly using the Forecast Monitoring Tool that has been developed for this purpose. You should be represented at relevant ODA budget meetings.

You must notify the ODA Hub of any changes to your spend profile which will result in a variance to your Financial Year (FY) allocations, for example, slippages from one FY to another. Where this cannot be managed internally to Defra, a Supplementary Estimates request will be made to amend FY profiles. This is not guaranteed and is subject to HMT agreement. To ensure the best chance of success, these requests must be made by October of each year at the latest. It is therefore important that you understand your spend profiles early.

ODA Staffing allocation

HMT have agreed that up to 5% of the ODA allocation can be spent on staffing costs across the Defra portfolio. The ODA Hub have worked closely with programme teams to agree the number of staff each team can charge to the ODA budget. Please see your provisional allocation in the Table 1. Please be aware that the majority of ODA FTE are in scope to count toward separate Defra FTE controls. It is vital that programme teams do not exceed the allocated FTE staff numbers set out in Table 1, to ensure we comply with the 5% ceiling set by HMT, *and* Defra FTE controls. Please contact the ODA Hub if you experience resourcing challenges and/or require changes as we may be able to assist.

Please ensure that your staff are assigned correctly on SOP so that they are charged to the ODA budget. Any ODA FTE currently incorrectly assigned on SOP will be outside of the ODA DAD's baseline. You will need to engage with us to identify these FTE and agree the necessary adjustments to ensure that reporting under Defra FTE controls is robust. We will review staffing allocations quarterly and may adjust if teams are not using their allocation. Defra FTE controls make assumptions on the allocation of ODA FTE growth in different Groups. You will need to engage with us to ensure that assumptions for your Group remain consistent with the initial, or adjusted FTE allocations we make to you.

Staff in technical or analytical roles will be asked to spend up to 10% of their time on delivery of work which contributes to the wider ODA portfolio e.g. participating in an Annual Review of another team's programme, or reviewing an ODA business case as part of a Red Team process.

As Director for ODA, I retain the flexibility to reallocate ODA budgets throughout the year to help manage emerging issues and changing priorities. Any budget or FTE reallocations will be agreed with Directors and DDs for ODA spending teams, will be transparent, reflect Defra's overall strategic priorities for ODA, be neutral within delegated limits and ring-fences, and be validated by the ODA Hub.

ODA Governance

In light of Defra's increased ODA budget, it will be even more important to be able to articulate the impact that Defra's ODA is achieving. Good governance and your full engagement with the ODA Board as required, along with ensuring good programme management practices. Annual reviews will be required for all programmes; your team should let the ODA Hub know when these are scheduled and share the reviews when complete.

You will be responsible for quality assuring your programme documents (concept notes, business cases, annual reviews) before approvals. The ODA Hub offers written guidance on all requirements as well as regular Communities of Practice, teach-ins, bi-lateral meetings and induction meetings. Please contact the ODA Hub (ODAHub@defra.gov.uk) for more information.

Please ensure that robust governance and control processes are in place within your division. Each ODA programme should have a named Senior Responsible Owner. This should be the person with immediate oversight responsibility for the programme. More guidance on this is available from the ODA Hub. Financial responsibilities for your programmes can be delegated in writing to programme SROs to the point where decisions can be taken most effectively.

You must ensure that any suspicions or actual instances of internal or external fraud are reported to the central counter-fraud team copying the ODA Hub and that you and your staff are aware of their responsibilities in both helping to detect fraud and prevent it from happening, as set out in the Defra group counter-fraud policy and fraud guidance provided by the ODA Hub. All ODA staff should undertake the mandatory fraud training on CSL.

ODA Approvals

It is essential that all ODA spend is supported by a suitable business case prior to spend. The ODA Hub will be able to provide guidelines and templates for proposed programmes based on complexity and spend. It is the responsibility of your division to keep appropriate audit trails including (but not limited to) supporting documents (including Integrated Assurance and Approval Plans (IAAPs) and Risk Potential Assessments, Accounting Officer tests), decisions made by the SRO or others (i.e. ODA Board, Ministers, Investment Committee), in-year project/programme changes and broader programme management responsibilities such as maintenance of log frames and risk registers. The ODA Hub will be requesting this information regularly to review our overall portfolio and to QA standards across multiple ODA spending teams.

All programmes must be published on the International Aid Transparency Initiative (IATI) Registry. You are responsible for cascading this requirement to ODA spending teams within your division and for reviewing and clearing publication of information. Publication includes general information of the programme as well as publication of key documents such as business cases, annual reviews and budget information. The ODA Hub can support teams in understanding publishing standards and offer training to use the platform we use to publish.

You should notify the ODA Hub in advance of any plans to make public announcements of new ODA funding commitments.

ODA Hub support

The ODA Hub can support your teams to deliver a high standard of ODA programming from start to finish. They can assist with providing clarity on SRO responsibilities, business case development, guidance on approval processes, safeguarding, gender requirements and poverty reduction criteria, as well as helping to develop results and monitoring frameworks, capability and training offers and providing links to FCDO colleagues.

Defra delegated authority requirements

In addition to the ODA specific requirements outlined above, your delegated authority is subject to the requirement to comply fully with Defra's internal financial controls which include, but are not limited to the following key processes:

- engaging with the relevant ExCo sub-committees to ensure regular updates on financial performance are available;

- ensuring that all resources, including income, expenditure, assets and liabilities are managed in accordance with the principles set out in HM Treasury's 'Managing Public Money', including affordability, value for money and the highest standards of probity;
- adhering to any additional internal approvals process agreed by ExCo, which at the time of this delegation includes any item of eligible expenditure requiring approval by the Investment Committee, as specified in the Investment Committee appraisal and approval guidance;
- complying with the reporting and control framework determined by ExCo;
- considering whether a proposal should be referred to the PAO and to Treasury (for example, if it is novel, contentious or repercussive);
- maintaining adequate and effective governance and internal control arrangements in relation to your responsibilities and providing assurance on these in support of the Department's Governance Statement;
- ensuring that staff with financial responsibilities have the time, skills and training to discharge them efficiently and effectively. You should ensure that all budget holders operating within the scope of this delegation have undertaken the financial training provided by Finance on a timely basis;
- developing accurate and robust income and expenditure budgets at the start of the year that align to your plans for utilising any Admin, RDEL, CDEL and AME budgets included in this delegation;
- managing your resources within budget, by monitoring spend as it is incurred, forecasting for the remainder of the financial year, and mitigating budget variances and financial risks and opportunities;
- reporting at the earliest opportunity, any material budget variance, asset impairment, new or contingent asset or liability, fraud, error, control weakness or breach of control to the ODA Hub and ODA Finance Business Partner. Defra aim for excellence in forecast accuracy and will track and seek to learn lessons from any unplanned variances;
- forecasting accurately throughout the year and surrendering emerging underspends in a timely manner to the ODA Hub. Where underspends have been released and budget pressures subsequently emerge, pressures will be managed by the ODA Hub;
- reporting any potential liabilities and assets to the ODA Hub/ ODA Finance Business Partner for consideration with Defra Core's Audit Management Review Team;
- ensuring, records of decisions, approvals and transactions are maintained to meet control and audit requirements for the preparation of the Department's Annual Report and Accounts and promptly addressing any control weaknesses or errors identified.
- Where a project has previously received approval from the Investment Committee it need not be presented again unless the next assurance gateway is reached, or additional costs involved in delivering the project rise to greater than 10% of that previously approved

The ODA Hub and ODA Finance Business Partner will support you to manage your expenditure within the requirements of this delegation.

You should ensure that financial responsibilities are delegated in writing to the point where decisions can be taken most effectively to meet the needs of your Directorate. Any sub-delegation should be made using the same conditions and guiding principles as set out in this letter and should be copied to myself, the ODA Hub and ODA Finance Business Partner.

You are accountable for the delivery of your outcomes and priorities identified in the 2022/23 Outcome Delivery Plan and ODA business case. You will be expected to contribute to group-level performance reports embracing delivery of outcomes, financial management, human resources and risk.

Receipt of this letter gives you authority to spend from 1 April 2022 within the limits outlined however, you should acknowledge receipt through return to odahub@defra.gov.uk by 18 April 2022. This does not impact on your authority to spend within the timeframe.

I am grateful for your support in ensuring effective management of Defra's ODA resources with a strong focus on value for money as we deliver Ministers' priorities.

International Biodiversity and Climate Director (Director for ODA)