WOTRO Science for Global Development

Conflict and Cooperation over Natural Resources in Developing Countries (CoCooN)

Call for full proposals

The Hague, December 2009 (version 9 February 2010)
Netherlands Organisation for Scientific Research

Content

1 Introduction

NWO and the Ministry of Foreign Affairs of The Netherlands invite consortia composed of representatives from research and non-research institutes, from both the North and the South[1], to submit proposals for Integrated Projects (IPs) for a knowledge, research and innovation programme on Conflict and Cooperation over Natural Resources in Developing Countries - CoCooN. Each IP will need to demonstrate integration and synergy of three perspectives: the development perspective, the high quality knowledge, research and innovation perspective and the capacity development perspective.

For this first call, a budget of €3.7 million is available for approximately six high quality medium-sized IPs. A later call will provide the opportunity to extend activities of the IPs awarded after the first call.

The IPs are expected to be organised around specific geographically delineated conflict areas, with a focus on one or more of the following three themes:

a) Conflicts, land rights and land-use change;
b) Water resources, conflict and cooperation;
c) Resource exploitation, global trade and conflict.

Across these various themes, it is important that three dimensions in knowledge research and theory development are acknowledged: i) the positive as well as the negative functions of conflict, ii) the dynamic and longitudinal nature of conflict and iii) influences across different levels of scale.

Please consult the background document for more information on the background, key themes and analytical features of the programme.

[1] Southern countries include all low and middle-income countries that qualify for receiving Official Development Assistance (ODA), as defined by the OECD (see www.oecd.org/dac/stats/daclist).

2 Aim

The aim of the programme 'Conflict and Cooperation over Natural Resources in Developing Countries - CoCooN' is to contribute to sustainable development, poverty reduction and the realisation of the MDGs. The objective is to add to evidence-based policy development and practice in the field of conflict and cooperation over natural resources, and to manage adequately, resolve and learn from conflicts over natural resources, by:

1. Providing society with tools and perspectives for evidence-based policy development and practice in developing countries—the Development perspective;
2. Generating knowledge, high quality research and innovation in the field of conflict and cooperation over natural resources—the Knowledge, research and innovation perspective;
3. Capacity development of institutions, groups and individuals, including researchers, policy makers and other stakeholders at different levels—*the Capacity development perspective*.

3 Guidelines for applicants

3.1 Who can apply

An IP has to be directed by a consortium and thus the application for an IP has to be submitted by the consortium. A consortium consists of representatives of at least four different partner institutes[2]. These partners include 1. a Southern-based[3] research institute; 2. a Northern-based research institute 3. a Southern-based non-research institute and 4. a Northern-based non-research institute. At least one of the institutes should be based in a DGIS-partner country (see Annex 2). The consortium nominates a coordinator, who will act as the main applicant (see section 3.5).

To enhance demand articulation, ownership and the effective use of results, other relevant stakeholders are expected to be engaged in all phases of the IP, from its inception to the sharing of results that emerge. Evidence of such active engagement will be an important element in the assessment of IP proposals. Such engagement can be demonstrated by references to involvement in IP preparation, letters of support and linkages of the IP to ongoing projects, private enterprises and/or policy implementation or stakeholder processes.

3.2 What can be applied for

An IP should make clear how it will constitute and operationalise activities and projects for three facilities:

- Knowledge sharing: making existing knowledge available and accessible for stakeholders; integrating and synthesising various sources of knowledge to create “new” knowledge;
- Research: the research proposed should be trans-disciplinary, crossing disciplinary boundaries and involving scientific knowledge as well as knowledge from outside the scientific community. Research components may include fast-track, medium-term and long-term projects. Though the involvement of PhD researchers is not excluded, research components should preferably be conducted by post-doc and senior researchers;
- Capacity development and training. Activities directed at improving the capabilities of individuals and institutes to learn and innovate, based on partnerships and the ability to both generate and build on knowledge, and create a supportive institutional environment.

These activities have to be well integrated, and output and outcome should contribute to clearly defined innovation and development objectives. As knowledge, research and innovation in policy-making and practice is basically a continuous and iterative process, a clear process design, including effective working procedures and communication strategies, should be developed.

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[2] Please note: in the background document, the consortium partners are referred to as “key stakeholders”.

[3] Southern countries include all low and middle-income countries that qualify for receiving Official Development Assistance (ODA), as defined by the OECD (see www.oecd.org/dac/stats/daclist).

Budget

Unless otherwise stated explicitly in this brochure, the budget for the IP should meet the budget and administrative guidelines of NWO. A full IP proposal will provide for a detailed budget for the first two years and an estimate for the remaining three years. Proposals can only be specific about an initial set of activities and the budget required for the first two years, since other activities are to be developed in the course of time. The budget for a maximum period of five years may not exceed €620,000, whereas the detailed budget for the first two years may not exceed €400,000.

The grant should be seen as a contribution to the total costs associated with the proposed activities within the IP. Please note that IPs supported by NWO commonly receive additional funding from other sources, such as the costs of input from and support for members of the consortium.

The budget and financial control of the expenditures should meet the administrative guidelines of NWO (please see NWO terms and conditions). The grant should be viewed as a contribution to the total costs associated with the proposed IP.

To ensure correct spending of ODA funds, at least 50% of the budget should be spent in the South (infrastructure, activities and/or personnel cost of team members from developing countries).

Reimbursable costs

- Personnel costs. The budget should specify clearly the input of personnel in terms of types of personnel, FTE appointments and salary scales/levels. Personnel costs of post-doc, senior and PhD researchers and non-scientific associates can be covered by: salaries[4] living allowances[5] and bench fees[6]. Cost of personnel involves max. 60% of the total budget;
- Knowledge, research and innovation costs: travelling expenses, durables, consumables, assistance;
- Activities organized by the consortium, such as workshops, training and learning, communication activities, the dissemination of results and international events.

Reimbursable costs in DC countries

but non-reimbursable in the North are:

- Office space, basic facilities, overhead and depreciation costs;
- Consumables or administrative and technical assistance of the host institutions.

Non-reimbursable costs are:

- Costs of accommodation, with the exception of the expenses incurred in the short trips of team members directly related to the research (<3 months).

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[4] NWO-VSNU regulations are applicable for salary costs of post-doc and PhD researchers to be affiliated with a Dutch institution. Senior researchers to be affiliated with a Dutch institution may claim a maximum of €88,125 / year (including final payment: 'EPV'). For researchers to be affiliated with non-Dutch institutes, national standards/regulations apply.

[5] Minimum standards for living costs of countries of residence have to be respected.

[6] A bench fee of max. €5,000 (on a fulltime 4 years basis) is made available for each project staff member engaged for at least one year. This is a contribution to the personal costs, for example, tuition, courses, a desktop or laptop computer, conference visits, books, the publication of a thesis, etc.

Activities and projects of the IP

The budget should include all of the costs necessary for carrying out the proposed IP activities along the lines of the three perspectives. Facility costs (knowledge sharing, research and capacity development) and DC infrastructure: max. €14,000 on average per year per fulltime team member; all costs necessary for carrying out the proposed project, with the exception of costs already covered by the bench fee. For some budget headings, certain conditions or maximum amounts of funding are attached:

- Joint workshop for IP-proposal development: max. contribution: €20,000;
- Budgets each of €10,000 for self-assessments in preparation of external mid-term and final review should be included in the proposal;
- Specific activities to enhance knowledge sharing that do not require research: min. 5% and max. 15% of the total budget;
- Capacity development and training activities beyond the individual graduate, post-graduate and doctoral levels: min. 5% and max. 15% of the total budget.
- Activities organized by the consortium, such as workshops, communication activities, the dissemination of results and international events: min. 5% and max. 15% of the total budget.

Please contact the WOTRO office if you have any queries.

3.3 When can applications be submitted

Applications can be submitted until 12.00 noon CET, **15 March 2010**. The entire evaluation and selection procedure takes about 9 months and is in two stages. It is compulsory to submit a preliminary application. For an overview of the procedure, please see Section 4.1.

3.4 Drawing up an application

Consortia applying for a grant are advised to write their applications for a broad audience: proposals should be clear and comprehensible for colleagues from different scientific backgrounds and for agencies and individuals from development practice and policy.

The requirements for preliminary and final applications are indicated in the following table.

Characteristic	Preliminary application	Final application
Objectives and success indicators	Objectives defined and expected results outlined	Objectives and expected results detailed and indicators defined
Thematic focus	Clear focus based on perceived demands, priorities and perceptions in the South	Elaborated focus and details of thematic focus as based on workshop/s and consultations
Geographical focus	Focus identified and suggestions on linkages to a wider context	Clear focus and linkages to the wider context worked out in detail
Consortium	Proposed partner members	Definitive members with Memorandum of Agreement for approval and availability
Stakeholders	Preliminary list, including representatives from different	Complete list

	sectors and levels	
Initial set of activities and projects (knowledge sharing, research, capacity development)	Preliminary overview, taking into account key features	Described in detail for the first 2 yr; provisional description for yr 3-5
Process approach to assure demand articulation and uptake of results	General outline	Elaborated in detail
Risk assessment	Outline presented	Fully elaborated
Communication strategy	Not applicable	Elaborated
Budget	Required for proposal development phase, indicative for execution phase	Detailed budget for the first two years, overview of entire IP

All applications will be evaluated according to a fixed set of criteria: 1. Development relevance; 2. Quality of knowledge generation and potential for innovation; 3. Potential for capacity development and 4. Coherence and synergy in project and process design. For a detailed overview of the criteria used to evaluate the preliminary proposals, please see section 4.2.

For details about the application form, please see section 6.

3.5 Specific conditions

Applications must fulfil the General Terms and Conditions of NWO Grants[7] and *all* of the formal criteria mentioned below in order to be admitted to the competition. The terms and conditions apply for the preliminary applications, unless reference is made specifically to the final applications.

Consortium and partner members

An IP is directed by a consortium composed of a limited number of representative, competent and credible partners. Partners include 1. a Southern-based[8] research institute; 2. a Northern-based research institute; 3. a Southern-based non-research institute and 4. a Northern-based non-research institute. At least one of the institutes should be based in a DGIS-partner country (see Annex 2). The consortium representatives will steer the process of demand articulation, translate demands into relevant knowledge and research questions, coordinate knowledge and capacity building activities, give advice on research and support the application of new knowledge and insights. Apart from that, the consortium will actively involve other stakeholders as a second layer around the core group of partners in identifying demands and setting priorities, translating these into knowledge and research questions, undertaking high quality research, and applying new knowledge and insights. One representative of a member institute of the consortium will be nominated as coordinator. This institute will take the responsibility for the IP secretariat, the day-to-day management and financial affairs. The participating institutes will sign letters of support (preliminary application) and specify their input to human and financial resources in a Memorandum of Agreement (final application). The coordinator represents the consortium. He or she acts as the point of contact

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[7] http://www.nwo.nl/nwohome.nsf/pages/SPES_5VEDDR.

[8] See www.oecd.org/dac/stats/daclist).

with NWO. To safeguard scientific objectivity and academic independence, the research methodology and the process of conducting the research will be managed by the research institutes involved.

Joint project formulation and execution

The IP development and execution must be the result of a collaborative effort of the consortium members and other stakeholders involved. A stakeholder analysis should be part of the preliminary and final applications. In addition, stakeholder consultation through the organisation of a multi-stakeholder workshop or through other activities undertaken to this end is an obligatory part of the development of the final application. For this workshop and/or activities a maximum of €20,000 may be provided if the preliminary application is selected for elaboration. Therefore an outline and planning for the joint project elaboration workshop and/or activities must be part of the preliminary application.

Eligible countries and alignment

IPs should be rooted in the South. Applicants must provide information explaining the relation of the proposed project with the policy of the country or countries concerned. Eligible countries are those countries that are ranked as Low and Middle income countries in the 2008 OECD/DAC list of ODA recipients. In addition, at least one partner country for Dutch development cooperation – listed in Table 1 of the Dutch Ministry of Foreign Affairs Policy Memorandum “Our common concern”, dated 16 October 2007 – where development cooperation is not phased out over the next 4 years, should participate in the project. Please see Annex 2 for a comprehensive list of these partner countries.
In order to be eligible for funding, the project and project outcomes should not endanger and preferably benefit and contribute to the effectiveness of the policies and programmes supported by the Dutch government. The applicants should explain clearly the link to and relevance for Dutch policies and interventions of the proposed project in their application. Applicants are advised to consult or involve the Dutch embassies in the countries of research regarding the project application in an early stage of the project development, e.g. through the multi-stakeholder workshop. In view of the nature of the programme and possible sensitive interactions with Dutch policies and programmes, the Dutch Ministry of Foreign Affairs has to provide a declaration of no objection for an IP to NWO. Therefore, a letter of endorsement or support by the relevant embassy clearly would be helpful.

In addition, applicants must provide information explaining the relation of the proposed project with the policy of the country or countries concerned.

Risk assessment and management strategy

IP proposals should include sensitivity and risk assessment, as well as a management strategy to counterbalance these potential risks. The assessment should be directed at contextual factors, e.g. regional or ethnic instabilities, as well as internal risks (e.g. corruption, institutional instability, legitimacy of stakeholders, conflicts of interests). Final applications should include a full risk assessment and management strategy.

Monitoring & evaluation and communication

An outline and a fully elaborated result-based summary of a monitoring & evaluation plan is part of respectively the preliminary and final application.

Input, progress, outcome and impact will be monitored by means of a mid-term review – about two years after the start of the project - and a final evaluation. The mid-term review consists of a self assessment and an external review. The self-assessment must result in a mid-term financial and progress report and should be based on a workshop of the project team organised by the consortium, including a discussion of preliminary results with stakeholders from outside the project team. The internal self-assessment will be followed by an external review. The final evaluation likewise will consist of a self assessment and an external evaluation in advance of submission of the final report and account. A budget of €10,000 for each self-assessment should be included in the proposal.

In addition, final applications will need to include a communication plan. Proposals must demonstrate how communication activities are linked to the development perspective, the knowledge, research and innovation perspective, and the capacity development perspective in order to be able to provide rapid and adequate response to field-based demands. The communication plan should include effective working procedures and communication strategies directed at identifying new issues and demands for knowledge, research or capacity building, communicating progress or results and making adjustments based on feedback.

The progress of the project will be checked against the proposed work plan as described in the full application and the Monitoring & Evaluation and Communication Plan. The mid-term review will lead to a decision on the continuation, as well as recommendations to extend the activities of an IP.

3.6 Submitting an application

Consortia should use the correct and fully-completed preliminary project application form and must fulfil all criteria with respect to format, length of text, language etc. (see section 6). Handwritten applications will not be taken into consideration.
The application should be submitted electronically through the Iris account of the consortium coordinator.

All applications are screened for compliance with the formal criteria as specified above and in section 3.5. Applicants will receive a written confirmation of receipt within two weeks after the deadline, stating whether the application has been accepted or refused.

4 Assessment procedure

4.1 Procedure

The evaluation and selection procedure is in two stages: one for preliminary and one for final applications. It is compulsory to submit a preliminary application. The entire procedure for this first call will take about eight months.

First stage

The preliminary applications are assessed and ranked by an International Programme Advisory Committee (IPAC) composed of scientists and experts from development practice and policy. Based on the recommendations by the IPAC, the Steering Committee will invite a selected number of consortia to elaborate their preliminary applications into final applications. All applicants will be informed of the outcome of the preliminary selection procedure in writing. It is expected that at most 10 consortia will be invited to submit a final application for an IP.

To enhance the collaboration with and input of consortium partners and other stakeholders from developing countries in the elaboration of the final application, it is compulsory to involve relevant stakeholders and conduct a joint problem analysis. This can be done through a collaborative multi-stakeholder workshop or through other activities undertaken to this end. The preliminary application should include a detailed budget of the costs of this workshop or activities.

Second stage

The final applications are assessed by the IPAC and are prioritised accordingly, based upon comments of independent reviewers (from science, policy and practice) and the response of the consortia to these. The Steering Committee takes a final decision on funding, based on the recommendations received from the IPAC. All second-stage applicants will be informed in writing about the outcome of the final selection procedure. The definite funding decision depends on approval by the Ministry of Foreign Affairs of The Netherlands and the outcome of the budget negotiations with the consortium. A project awarded a grant should start within three months of the granting date.

Appeals Procedure

If a consortium objects to a decision taken by the Steering Committee, it can lodge a complaint with the General Board of NWO through the NWO Appeals Committee. Any written appeal against a decision taken by the Board must be lodged within six weeks from the day on which the notice of this decision was sent.

4.2 Criteria

All preliminary and full applications are assessed according to a fixed set of criteria for three perspectives: development relevance, the quality of the generation of knowledge, research and innovation, and capacity development. In addition, the synergy between the three perspectives is critical and will be taken into account. All applications have to meet minimum standards for the four criteria, which are weighed equally in the ranking process.

Evaluation criteria for final applications

1. Relevance for development:

- Extent to which the problem or opportunity analysis, knowledge and research questions and training and learning activities are rooted in Southern demands, priorities and framing;
- Potential for finding innovative and more effective, efficient, sustainable or just solutions to the problem or opportunity identified;
- Probability of a wider application of results beyond the context of the specific case;
- Extent to which significant improvement in action or decision-making in social, economic, legal, environmental or political processes, policies and practices may be expected.

2. Quality of knowledge generation and research and potential for innovation:
- Probability of generating new knowledge and insights;
- Originality, adequacy and feasibility of research components;
- Quality of the trans-disciplinary and integrative approach.

3. Potential for capacity development:
- Relevance and complementarities of identified stakeholders at different scale and sector levels;
- Potential for improving the capabilities of individuals and institutes to learn and innovate, based on partnerships and the ability both generate and to build on knowledge and create a supportive institutional environment.

4. Coherence and synergy in project and process design
- Synergy in the perspectives, coherence of the overall objective and specific objectives, coherence and synergy in specific objectives, activities and expected results;
- Quality of the communication plan;
- Quality of the collaborative working procedures and arrangements in the IP process design.

4.3 Composition of committee

The Steering Committee consists of representatives from the funding agencies.

The International Programme Advisory Committee (IPAC) consists of senior researchers with an interdisciplinary background and development practitioners with a scientific background.

The compositions of the SC and IPAC are published on the CoCooN website (www.nwo.nl/Cocoon).

5 Other information

5.1 Contact and information

WOTRO Science for Global Development

Website: www.nwo.nl/cocoon

For specific questions:
Phone +31 70 3440681
E-mail: cocoon@nwo.nl

- Ms Han van Dijk, Programme coordinator
- Ms Yvonne Rondeltap, Management Assistant: general information and forms
- Ms Leny Schröter, Financial controller: research budgets and accounting (available from 9 a.m.–12.30 p.m. on working days)

Postal address:
NWO-WOTRO
P.O. Box 93120
2509 AC The Hague
The Netherlands

Visiting address:
NWO-WOTRO
Laan van Nieuw Oost Indië 300
2593 CE The Hague
The Netherlands

5.2 Overview of the procedure

First stage: preliminary application	
Application forms for preliminary application available via the website www.nwo.nl/wotro/grants	July 2009
Deadline for the submission of preliminary applications	3 November 2009
Evaluation and selection of preliminary applications by the International Programme Advisory Committee and Steering Committee	November 2009
Invitation sent to selected applicants to submit final application.	December 2009
Application forms for final application available on www.nwo.nl/wotro/grants	December 2010
Joint elaboration of final application	December - February 2009
Second stage: full application	

Deadline for the submission of final applications	15 March 2010
Peer review procedure	March - April 2010
Receipt of reviews, opportunity for response	Mid-May 2010
Evaluation and selection of final applications; applicants notified	June 2010
No objection DGIS and formal determination of budgets for awarded projects, formal letter of approval	July 2010
Start of awarded projects	September-November 2010

6 Annexes

6.1 Instructions for application

General remarks

The form must be completed in English. For some items on the form, a maximum number of words or pages are stated. Do not exceed this number and fill in the word count. Note that your application may be disqualified if you exceed the maximum number of words or pages stated.

The application must be submitted electronically through the Iris system. The Iris system can be accessed on the NWO website. Please note that the application must be submitted through the Iris account of the coordinator of the consortium, here called main applicant.

Some additional remarks

- Foreign applicants should choose NWO-CoCooN as the applying institute;
- The electronic application consists of two parts: a fact sheet and the preliminary application form;
- The fact sheet concerns the basic details of the applicant. Note that the fact sheet can contain only plain ASCII characters and no formulas or layout formats can be used. These may be used in the application form;
- The application form is attached to the application. *Note that a PDF format is required for the attachment!* If you do not know how to convert your application form from a Word file to PDF format, then please allow extra time for obtaining help from your own computer support department or from the Iris helpdesk at NWO (www.iris.nwo.nl);
- Iris will confirm the receipt of your application by email;
- During the evaluation of the applications, you may check the progress of the procedure via Iris.

Explanatory notes for each question on the application form are provided below (the numbers refer to the questions on the application form).

Registration
A number of details presented in this section should also be completed/copied in the application details for the Iris system. These are indicated on the fact sheet.

1 Project

Please indicate:

- Which key theme is addressed by the knowledge, research and innovation project. Please indicate a priority if more than one theme is covered and describe the relationship to issues mentioned in the background document in no more than 150 words;
- Project duration (expressed in months);
- Country where the research will be carried out. If there is more than one country involved, all countries should be listed;
- Whether the proposal has also been submitted elsewhere. If so, specify where the proposal has been submitted, as well as the amount requested. Please note that proposals cannot be submitted simultaneously in different NWO competitions.

2 Title

The project title must state the country or countries where the research will be carried out.

3 Composition of the project team

3a Project team: Consortium members

- Coordinator of the consortium
- Consortium members

Please provide the details requested. You may copy the tables. CVs (max. 2 pages each) of the consortium representatives may be annexed. Moreover, a Memorandum of Agreement (MoA) should be annexed.

3b Project team: Project staff

Provide a list of the identified and unidentified project staff members to be hired for carrying out the project. In addition, (non-remunerated) advisors and supervisors should be specified. You may copy the tables. CVs may be annexed (max. 2 pages each).

4 Summary of the project proposal

Provide a summary of your proposal. The summary should briefly describe the conflict problem or cooperation opportunity addressed, the main objective, knowledge gaps and questions, approaches and anticipated results in no more than 400 words. If your proposal is successful, this summary will be published on the CoCooN website. Please specify the number of words used.

5 Description of the project

5a Description: Project outline

The project outline should include the following aspects:

i. Background and rationale: stakeholder demand and analysis and contextualisation of the opportunity and/or problem addressed;
ii. The project's objective in terms of its contribution to development, innovation and capacity development;
iii. Project outline: knowledge gaps addressed, knowledge and research question(s), description of the trans-disciplinary and integrative approach and methods, major results expected;
iv. Innovativeness and originality: please refer to each of the three perspectives.

See also section 9: the keyword summary must reflect the information presented in this section and vice versa. A careful tuning of the project description with the keyword summary may enhance the clarity and the conciseness of the proposal. Section 5a. should not exceed the maximum of 2500 words. Please specify the number of words used.

5b Description: Policy relevance

The ways in which the proposed project and project outcomes relate and contribute to the effectiveness of interventions and policies that are supported by Dutch government, as well as national or regional policies and practices should be explained clearly. In addition, policy implications should be specified. Section 5b should not exceed the maximum of 500 words. Please specify the number of words used.

5c Description: Risk assessment and strategy

A sensitivity and risk assessment should be presented, both in terms of internal risks and contextual, external factors. In addition, an elaborated strategy should be presented to counterbalance identified risks. Section 5c should not exceed the maximum of 500 words. Please specify the number of words used.

5d Description: Process management and Monitoring and Evaluation strategy

Please describe the project's management strategy in terms of a. Process of demand articulation / interaction with stakeholders/knowledge management; b. how the monitoring and evaluation of the progress against the objectives and anticipated results will be ensured, including a description of the internal self assessments to be conducted at the mid-term and final evaluation. Section 5d should not exceed the maximum of 500 words. Please specify the number of words used.

5e International linkages, embedding and outreach

Please describe how the project will be linked to/embedded in the larger international context. In addition, information should be provided if and how the project may impact a wider regional or global context. Section 5e should not exceed the maximum of 500 words. Please specify the number of words used.

6 Description: Activities and sub-projects

6a Description activities performed by project staff yr 1-2

Please present a description of all activities and subprojects to be carried out the first to years of the project. These may entail knowledge sharing, research and capacity development: title and brief description of each of the activities to be carried out by project staff members to be hired.

6b Outline of activities performed by project staff yr 3-5

Please present an outline of the activities and sub-projects to be conducted for year 3 to 5.
This Section should not exceed the maximum of 500 words. Please specify the number of words used.

7 Time table

Provide a provisional work plan for the entire project duration and a detailed work plan and time schedule of the project for the first two years. Overall project and specific activities, e.g. approaches for achieving the objectives, milestones concerning knowledge sharing, learning and training, monitoring, scientific and non-scientific output and dissemination, must be included. Assure cross reference with the keyword summary and communication plan (Section 9 and 10). This Section should not exceed the maximum of 2 A4 pages.

8 Consortium building and track record

8a Consortium building: proposal development workshop

Include a summary of the objectives, results and conclusions of the workshop organised to elaborate the preliminary application into a full proposal. Details may be annexed to the application (max 2 pages A4). Provide a list of participating institutes or organisations by filling in the table provided in the form. Specify the future means of engagement of these stakeholders. This Section should not exceed the maximum of 500 words.

8b Consortium: roles and added value

Please describe the roles and added value of each of the consortium partners in terms of experience, skills, know-how and expertise. If applicable, describe past experiences in joint activities of the consortium partners. This Section should not exceed the maximum of 500 words.

8c Consortium and project team: recent publications

You may include a maximum of 5 recent relevant publications for each of the consortium partners and project team members/organisations. You may mention reports, policy briefs, websites, scientific manuscripts et cetera. Include whenever possible joint publications.

9 References

The references list may have a maximum length of two A4 page. You may refer to reports, policy briefs, websites, scientific publications et cetera. For the latter, please provide the following details in full: authors, year, title, journal or series in which the publication appeared, volume, pages, and (if applicable) publisher and place.

10 Keyword summary

This set-up of this Section has changed since the call for preliminary proposals. This was done to allow for a clearer use of the logframe as planning, monitoring and evaluation tool. Please see annex 4 for tips and tricks on how to use the workshop to develop this logframe.

Please specify the overall objective of the programme and specify preferably no more than one specific objective and up to three results for each of the following three perspectives for each of the three perspectives: a. Development relevance; b. Knowledge, research and innovation; and c. Capacity development. Experience has shown that focussing on one objective per perspective improves the conciseness and focus of the logframe. If deemed necessary, one additional specific objective per perspective is allowed (in that case, please copy and paste). The results should be clearly stated and all of them should be necessary for accomplishing the overall objective. Section 10 should not exceed the maximum of 4 A4 pages.

10a Development relevance

Please indicate the specific objectives of the project and expected main results in view of what the project is meant to accomplish with regard to the problem or opportunity at stake, and what significant improvement in social, economic, legal, environmental or political processes, policies and practices is to be expected. Please refer to the geographical scale (local, regional, global). Results should be aimed at community, governmental, inter-governmental and non-governmental institutions relevant to developing country, as well as at Dutch policy and interventions in the developing country. For each of the results, indicators, means of verification and assumptions should be mentioned. In addition, please indicate main activities aimed at these results.

10b Knowledge, research and innovation

Please indicate the specific objectives and expected results in view of what the project is meant to accomplish in terms of knowledge, research and innovation. The results should be aimed at generating new knowledge, innovative scientific insights, tools and perspectives that are more effective, efficient, sustainable or just than existing solutions to a problem, and to contributions to novel integrative and trans-disciplinary approaches. For each of the results, indicators, means of verification and assumptions should be mentioned. In addition, please indicate main activities aimed at these results.

10c Capacity development

Please indicate the specific objectives and expected results in view of what the project is meant to accomplish in terms of capacity development. The results should be aimed at building effective sustainable South-North and South-South scientific/non-scientific partnerships, improving abilities of individuals and institutes to generate knowledge, learn and innovate. For each of the results, indicators, means of verification and assumptions should be mentioned. In addition, please indicate main activities aimed at these results.

11 Communication strategy

Please present a summary of the communication, dissemination and innovation plan. Indicate target groups, communication objectives, which products, outputs and other issues will be subject of communication, and which means of communication will be used. The communication objectives should contribute to the programme's specific objectives (and consequently, also to the overall objective) identified in the keyword summary.

Please refer to:

- Stakeholders: the scientific and non-scientific collaborators, targeted users, beneficiaries or other stakeholders who are participants in social, economic, legal, environmental or political processes in the local context and who are key persons in enabling the introduction and putting to work of new solutions and insights.
- International collaboration: intended communication with communities, institutions, networks and platforms who would be interested in linking up with the consortium.
- Output dissemination: the anticipated results in terms of scientific and non-scientific publications and other output, as well as enhanced capacity and skills.

This Section should not exceed the maximum of 2 A4 pages.

12 Funds requested from WOTRO

Please consult section 3.2 of the brochure before completing this section. Please note that under the first call a total budget of €3.7 million is available for approximately six medium-sized projects. Also note that at least 50% of the budget should to be spent in the South.

12a Total budget requested

Please provide a summary of the total budget by providing an overview of the totals from the itemised detailed budget as requested below, and include the actual expenses incurred for the joint proposal development.

12b Personnel costs

List the total number of person years and appointments on a full-time basis of post-doc, senior and PhD researchers and non-scientific associates to be affiliated and supported as a temporary employee at a Dutch institutes, non-Dutch Northern-based institutes and Southern-based institutes. Please note that the costs of personnel may not exceed 60% of the total budget requested.

12c Knowledge sharing costs

Present an estimate of the total costs of the project for specific activities to enhance knowledge sharing that do not require research: travelling, durables, consumables and assistance. This budget item should amount to min. 5% and max. 15% of the total budget.

12d Research costs

Present estimations of the research costs per year and list the budget items according to the following budget lines: travelling costs (including plane tickets for researcher and supervisor(s), travel in the field/the Netherlands and costs of accommodation and travel for short visits); durables (research equipment); consumables, research assistance and other costs.

12e Capacity development costs

Present an estimate of the total costs of the project for specific activities for learning and training: travelling, durables, consumables and expertise needed. This budget item should amount to min. 5% and max. 15% of the total budget.

12f Overhead costs in support of c, d, e

Please specify overhead costs in DCs, related to conducting activities under b, c and d. List the budget items according to the following budget lines: office space, basic facilities, overheads, depreciation costs; administrative assistance.

12g Communication costs

Present an overview of the cost for communication, including the cost of coordinating and integrating the (scientific and non-scientific) participants' contributions to the programme, costs of contributing to relevant communication and network platforms and the costs of the dissemination and transfer of knowledge. This budget item should amount to min. 5% and max. 15% of the total budget. Please note that NWO does not reimburse costs of scientific publications.

12h Monitoring and Evaluation costs

Budgets of approximately € 10,000 for self assessments of involved project partners and stakeholders for the mid-term review and final evaluation should be included in the proposal. Please present estimates of costs for these mid-term workshop and final evaluation.

10i Amount and source of additional financial sources

If the funding required exceeds the maximum contribution from NWO, the additional sources and the amount should be indicated. Note that guarantees in writing must be sent along with the application.

11 Annexes

Please attach:

- Memorandum of Agreement, Consortium (obligatory)
- Endorsement / Support letter Dutch Embassy/ies (optional, strongly recommended)
- CVs (max. 2 pages each) of the consortium members to the application (obligatory);
- CVs other collaborators (optional)
- Any Letters of Support that the applicants wish to submit (optional)
- Two page description of the proposal development workshop(s)(optional)
- Financial guarantees (if applicable)

Signature

The application must be signed by the representatives of the consortium. Faxed, electronic or scanned signatures are accepted.

6.2 DGIS partner countries

- Afghanistan
- Bangladesh
- Benin
- Bolivia
- Burkina Faso
- Burundi
- Colombia
- Democratic Republic of the Congo
- Egypt

- Ethiopia
- Georgia
- Ghana
- Guatemala
- Indonesia
- Kenya
- Kosovo
- Mali
- Moldova
- Mongolia
- Mozambique
- Nicaragua
- Pakistan
- Palestinian Territories
- Rwanda
- Senegal
- South Africa
- Sudan
- Suriname
- Tanzania
- Uganda
- Vietnam
- Yemen
- Zambia

6.3 Glossary of concepts used

Knowledge

Knowledge is defined as organised or processed information. New knowledge may be generated by:

- translating existing knowledge with the objective to make knowledge accessible for stakeholders;
- integrating and synthesising various sources of knowledge;
- research.

Innovation

Innovation in the CoCooN context is meant as a contribution to positive change. Innovation is thus not only providing new knowledge, innovative scientific insights, tools and perspectives that are more effective, efficient, sustainable or just than existing solutions to solve a problem, but includes the introduction and putting to work of these new solutions in a manner that brings about a significant improvement in social, economic, legal, environmental or political processes, policies and practices.

Transdisciplinarity

Transdisciplinarity refers to research that does not only cross disciplinary boundaries (and thus is interdisciplinary) but also involves knowledge from outside the scientific community. It integrates scientific knowledge and extra-scientific knowledge, experience and practice in problem-solving and seeks to transform or improve the problem area by addressing its full complexity.
IPs are expected to apply an innovation systems approach based on building a multi-stakeholder network for creating new knowledge and insights, tools and perspectives, involving all relevant stakeholders including local actors, researchers, policymakers, private companies and governmental and nongovernmental organisations

Capacity development

Capacity development is defined as improving the capabilities of individuals and institutes to learn and innovate, based on partnerships and the ability to build on as well as generate knowledge and create a supportive institutional environment.

6.4 Tips and tricks for a participatory workshop

6.4.1 Introduction

The present "Tips and tricks for a participatory workshop" aim to support applicants who were invited by WOTRO to submit a full proposal for one of the WOTRO grants.

WOTRO gives the applicants the possibility to organize a workshop with the most important stakeholders of the programme before finalizing the full proposal for the programme. The purpose of this workshop is to enable the applicants to better tune their proposal to local circumstances and to take a variety of perspectives on the problem the programme intends to tackle into consideration. In order to meet with the criterion on relevance for development, some of the researchers will have to leave their "natural environment" and the knowledge and experience of important stakeholders will help them to improve the quality of the proposal. In addition, stakeholder involvement from the very beginning has other positive effects that go beyond the design phase of a programme: it creates ownership, helps to develop skills, improves the probability of influencing development practice and policy and thus enhances the uptake of research results and its benefit to society.

The present tips are resources the applicants can draw on when preparing the workshop. They don't prescribe, but rather describe methods that applicants might want to use to involve stakeholders at the design stage of a programme.

6.4.2 Some principles of participation

Participatory methodologies in development aim to involve people, communities and organizations at different stages of the programme cycle (analyzing, planning, implementing and reviewing). Stakeholder participation can have different levels of "intensity" that range from a passive participation (mainly information on what is happening in the programme) to more active forms of participation (consultation, joint decision-making and, finally, handing over control).

Before the workshop, it might be useful to reflect on the level of stakeholder participation in each stage of the programme you are aiming at. To what extent can which stakeholders at which stage of the programme be involved? The workshop itself is an event at the analyzing and planning stage of the programme, and some of the answers to this question will only emerge during the workshop. However, it is helpful to be clear about your own preferences and about limits that the programme set-up might pose. Communicating your position to the stakeholders helps to avoid false expectations.

During the workshop, the facilitator can actively influence the level of participation – a few suggestions:

- Meaningful participation depends on the level of **information** the participants have. Give the participants sufficient information on all relevant aspects of the programme.
- The stakeholders come from different backgrounds. Communicate in a **language** that will be understood by all of them.

- Meaningful participation needs **time**: Carefully select and focus on the issues you want to share with the stakeholders. Give them enough time for analysis and for formulating their suggestions.
- **Listen** and be prepared to accept other people's ideas.

After the workshop, you might want to assess with the core team of the programme this first intense contact with the stakeholders. You can do that using the format of a quick AAR (after action review) with some simple questions like: What was supposed to happen, what actually happened and why were there differences? What worked? What didn't? How can we further improve our relation with the stakeholders?

6.4.3 Using participatory tools

Stakeholder analysis

What is a stakeholder?
"A stakeholder is any individual, community, group or organisation with an interest in the outcome of a programme, either as a result of being affected by it positively or negatively, or by being able to influence the activity in a positive or negative way." (DfiD 2003:15)

Why do stakeholder analysis?
A stakeholder analysis helps to identify the most important stakeholders of a programme or project and it helps to get ideas on how to involve them. It also enables the planners to see potentials for conflicts and risks.

How to do stakeholder analysis in the workshop?
A first identification of stakeholders of the programme has to be done for the preliminary proposal – the participants of the workshop belong to this group of already identified stakeholders. For the full proposal, a detailed stakeholder analysis is required. It may be useful to undertake this detailed stakeholder analysis during the workshop. The basic steps in this detailed analysis are:

Review the list of the already identified stakeholders of the programme;
Assess the importance and influence of each of these stakeholders;
Gather ideas on how they should be involved in the programme.

Before using the below described tools, explain to the participants what stakeholders are and why it is important to involve them.

Identification of key stakeholders
The following grid can help to get a complete list of stakeholders, looking at different sectors. You can do the exercise in the plenary, if the group is not too big (not more than ten). Otherwise, split the plenary in working groups and give them at least 30 min to do the exercise. The groups then present their completed grids to the plenary, where common ground is identified.

Private sector stakeholders	Public sector stakeholders	Civil society stakeholders
(for example businesses, banks, etc.)	*(for example local governments, ministries, civil servants, elected representatives, etc.)*	*(for example local NGOs, international NGOs, trade unions, churches, foundations, etc.)*

Stakeholder importance and influence matrix

Organize the identified stakeholders in the following matrix, according to their influence and importance. An influential stakeholder has the power to facilitate or impede the achievement of the programme's objectives. An important stakeholder is a stakeholder the programme is intended for, whose needs and interests the programme wants to satisfy. High importance/High influence stakeholders are the main target group for partnership building.

Depending on the number of participants, it might be appropriate to divide the participants into groups and give them sufficient time (one hour might be adequate) to do a stakeholder analysis using the matrix. The groups then present their findings to the others and the plenum agrees on a single stakeholder importance and influence matrix.

High Importance/ Low influence stakeholders	High importance/ High influence stakeholders
Low importance/ Low influence stakeholders	Low importance/ High influence stakeholders

Use the final stakeholder importance and influence matrix to brainstorm in the plenum on possibilities of collaboration with the most important stakeholders.

Problem tree & objectives tree

<u>What is a problem tree?</u>
A problem tree is a diagram that shows causes and effects of a problem.
The diagram can be converted into an objectives tree that shows a solution scenario.

<u>Why do a problem analysis using a problem/objectives tree?</u>
The problem tree helps to get clarity on the problem and, consequently, on the focus of the intervention. It also helps to discuss the whole context of the problem, and to identify different causes, going from the more obvious to the more "hidden" ones. The objectives tree helps to see a variety of interventions that might contribute to a solution and helps to decide on a specific "route" to take.

<u>How to do the exercise with the problem/objectives tree in the workshop?</u>
The problem/objectives tree analysis is best carried out in a group of about five to ten people, coming from different backgrounds and having different perspectives on the problem. This may mean that the core team of the programme prepares this problem/ objectives tree before the workshop and stakeholders comment on the draft problem/ objectives tree during the workshop. It is handy to use post-its or cards for drawing up the problem/ objectives tree, as they can easily be arranged and re-arranged during the discussion. Actually, the discussion itself is the most important aspect of the whole exercise. Joining the different perspectives on the problem, each participant will get a deeper insight into the issue at stake.

<u>Problem tree:</u>
- Agree on the problem to be analysed (suggest the one presented in the preliminary proposal, it may have to be adapted) – it becomes the "trunk" of the tree.
- Identify the causes for the problem, they become the roots. It is often useful to look at different categories of causes, such as policy constraints or constraints in

legislation, lacking institutional capacity, cultural norms, lacking knowledge (research), etc. Try to look at a deeper level, don't stop at the first, most obvious causes. Has a cause been identified, search for further, underlying causes. Keep asking "What causes that?".
- Identify the effects of the problem, they become the branches.

Objectives tree:
- Reformulate all the problems in the problem tree into positive conditions (objectives).
- Select the objectives that might fall within the scope of your programme – they are starting points for designing the logframe.

Logical framework

What is a logical framework?
The term "logical framework" or "logframe" usually refers to the logical framework matrix, the most common tool for planning and monitoring development interventions. Basically, it is a 4x4 matrix which links activities to a hierarchy of objectives on the vertical axis and involves indicators of performance, means of verification and risks and assumptions on the horizontal axis. A logframe matrix can be designed on its own, but the full logical framework approach includes certain analytical steps before the design of the logframe (for example, stakeholder analysis and problem/objective tree).

Why use a logical framework?
A well designed logframe is a document that gives outsiders a quick insight into the programme rationale and that can be used by the implementers as a basic tool that helps to plan an intervention and to stay on track during the implementation. Therefore, WOTRO uses the log frame matrix in the application form.

However, the logframe has its limitations: it can be a quite rigid tool because reality does not adapt to the logframe. Its utility for planning and monitoring complex processes that are prone to unpredictability or are intrinsically unpredictable (f.e. social development or research) has therefore been discussed. However, the logframe can be turned into a more flexible tool by reviewing (and if necessary, altering) the logframe at regular moments in the programme cycle. Stakeholder involvement in the design of the logframe will also have positive effects on its utility: the logframe will be more realistic, more understandable by a wider range of people and there will be more ownership in relation to the intended results and objectives of the programme as formulated in the logframe. Designing a logframe should actually be a teamsport.

How to use the workshop to improve the logical framework of the programme?
A first logframe of the programme has been designed for the preliminary proposal. At the workshop, this first logframe will undergo a revision and adaptation to the new format. Analytical exercises undertaken with participation of stakeholders (stakeholder analysis, problem/objectives tree) will provide useful information for the final design of the matrix.

Some suggestions for designing a logframe with the participation of stakeholders:
1) Make sure that all participants know what a logframe is (explain purpose and structure) and introduce the format WOTRO is using. To make sure that the participants are not intimidated by typical logframe expressions, such as overall objective, specific objectives, results, indicators, etc. explain their meanings. The following grid may help:

Terminology	Definition	Tips for formulation

Overall objective	The long-term goal that the programme is making a contribution towards. A future positive scenario.	One sentence, one overall objective. Describe a future condition, not an activity.
Specific objective	The medium-term change that the programme will support. The programme contributes towards this change, but cannot be held directly accountable for it.	Describe a future condition, not an activity. It may help to use a verb expressed in the past tense. For example: "Improved knowledge on x", "Policies on x reformed"
Narrative summary	A short statement that describes the specific objective, result or activity.	Keep it simple and understandable. (See examples below)
Results	Direct results of the programme activities. The programme is responsible for their achievement.	For example: "Scientific articles completed and submitted for publication"
Activities	Actions that have to be carried out to achieve the intended results.	Start with a verb, for example: "Organize a training".
Indicators	Quantitative measures or qualitative judgements that show change. Indicators should be SMART: Specific, measurable, achievable, realistic and time-bound.	Specify quantity and/or quality and time. For example: "x civil servants trained on y two years after programme start"
Means of verification	Sources or tools that can be used to verify if the intended changes actually happened.	Sources such as: reports, databases, minutes of meetings, etc. Tools such as: surveys, expert peer reviews, etc.
Assumptions	Conditions that are necessary for results to lead to specific objective.	For example: "Low turn-over of trained staff."

2) It might be wise to focus on certain aspects of the logframe that you want to conclude during the workshop. The development of a whole logframe matrix can be very time-consuming. Make sure that you, at least, develop a common view on the overall objective of the programme and the specific objectives and results.

3) Start with the overall objective of the programme (the trunk of the problem/objectives tree should be useful for formulating the overall objective), continue with the specific objectives in each of the three areas, then do the results. If the number of participants is high (>12), consider splitting them up into three groups, according to the three areas.

6.4.4 References

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