



**WOTRO Science for Global Development**

## **Integrated Programmes**

**Call for full proposals**

**Deadline 15 February 2011**

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# 1 Introduction

**The Integrated Programme (IP) scheme is aimed at supporting excellent research to the benefit of development and societal issues of local and global concern. The key challenge for applicants is to identify original research opportunities for these societal issues and to combine innovative scientific research with a clear exposition of its future relevance and impact on development practice and policy.**

The research should lead to new insights, applications, theories or breakthroughs in current knowledge or understanding while addressing developmental issues:

- fitting into WOTRO's thematic framework, inspired by international agendas, notably the UN Millennium Development Goals (see Annex I): (A) Poverty and Hunger; (B) Sustainable Environment; (C) Global Relationships.
- in a broad sense, touching upon topics or problem areas that are not covered under the Millennium Development Goals, in which WOTRO especially seeks proposals that go beyond mainstream discourse and practice of development and research for development.

Recognising the complexity of the problems to be tackled, WOTRO is particularly keen to receive proposals that interweave and integrate traditionally distinct disciplinary perspectives.

An IP must be a collaborative initiative of researchers from the Netherlands (NL) and from one or more developing countries<sup>1</sup> (DC). DC partner institutions and DC researchers have to be involved in the formulation of the research questions and the development of the proposal as well as in carrying out the research programme. To enhance effective use, the uptake of results and the benefit for society, relevant stakeholders from outside the scientific community are expected to be engaged in all phases of the programme, from its inception to sharing emerging results.

Please note that the resubmission of a revised proposal is allowed only once and that it is not allowed to submit the same or a similar proposal in more than one WOTRO-supported call for proposals. Furthermore, it should be noted that proposals addressing the theme Global Health and Health Systems are no longer supported by the IP scheme. For this theme, a thematic programme has been launched. Applicants are referred to calls under the Global Health Policy and Health Systems research programme<sup>2</sup>.

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

<sup>2</sup> [http://www.nwo.nl/NWOHome.nsf/pages/NWOA\\_7TBJ53\\_Eng](http://www.nwo.nl/NWOHome.nsf/pages/NWOA_7TBJ53_Eng)

## 2 Aim

**The Integrated Programme (IP) scheme is aimed at supporting excellent research to the benefit of development and societal issues of local and global concern. The key challenge for applicants is to identify original research opportunities for these societal issues and to combine innovative scientific research with a clear exposition of its future relevance and impact on development practice and policy. The research should lead to new insights, applications, theories or breakthroughs in current knowledge or understanding while addressing developmental issues. Recognising the complexity of the problems to be tackled, WOTRO is particularly keen to receive proposals that interweave and integrate traditionally distinct disciplinary perspectives.**

Applicants are invited to address developmental issues:

- in a broad sense. Proposals may address topics or problem areas that are not covered under the Millennium Development Goals (e.g. monetary systems, crime, ....), go beyond mainstream discourse and practice of development and research for development, integrate disciplinary perspectives that are less associated with research for development (e.g. mathematics, philosophy), aim to analyse discourse and practice of (research for) development, or seek to transcend the aid industry focus on least developed countries through comparative research into common but differently experienced patterns of global change;
- fitting into WOTRO's thematic framework, inspired by international agendas, notably the UN Millennium Development Goals: (A) Poverty and Hunger; (B) Sustainable Environment; (C) Global Relationships.

## 3 Guidelines for applicants

### 3.1 Who can apply

The main applicant should be a senior researcher employed by a NWO recognised grant recipient or by an international centre for scientific education based in the Netherlands<sup>3</sup>. A senior researcher from the partner organisation in the developing country concerned with a PhD degree should be the co-applicant and a member of the coordinating team.

Proposals or very similar proposals that are submitted in different NWO competitions will only be awarded once.

### 3.2 What can be applied for

An IP consists of at least two and preferably more interrelated PhD or post-doc research projects, and must be a collaborative initiative of researchers from the Netherlands (NL) and from one or more developing countries (DC). DC researchers and DC partner institutions have to be involved in the formulation of the research questions and the development of the proposal as well as in carrying out the research programme. To enhance effective use, the uptake of results and the benefit for society, relevant stakeholders from outside the scientific community are expected to be engaged in all phases of the programme, from its inception to sharing emerging results.

#### Budget

The research budget for the IP execution should meet the budget- and administrative guidelines of NWO and WOTRO and may not exceed €700,000. The grant should be viewed as a contribution to the total costs associated with the proposed research activities. Please note that the majority of IPs requires additional funding from other sources, which is often the host institution(s).

#### Reimbursable costs

Reimbursable costs include:

- Personnel costs of PhD and post-doc researchers:
  - salaries;
  - living allowances;
  - bench fees.
- One replacement (the Netherlands) and/or one support grant (developing country) for a senior researcher;
- Research costs (travelling expenses, durables, consumables, research assistance);
- Costs of joint activities and the dissemination of results.

#### Non-reimbursable costs

Non-reimbursable costs are:

- Office space, basic facilities, overheads and depreciation costs;
- Consumables or administrative and technical assistance which the host institution may be expected routinely to provide;
- Costs of accommodation, with the exception of the expenses incurred in the short trips of supervisors or researchers directly related to the research (< 3 months).

The preliminary application should include a detailed budget of the costs of the joint workshop for proposal development if a contribution from WOTRO is requested. In addition, a rough estimate of the budget of the proposed programme must be presented. The full

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<sup>3</sup> IHS, ISS, ITC, MSM, UNESCO-IHE

proposal should include a detailed, itemised budget with a thorough explanation of each of the items.

### Personnel costs

Personnel costs depend on the type of funding (temporary employee or net grant):

- Project researchers can be employed by a Dutch host institution, which then assumes the full employer's responsibility. WOTRO provides a fixed amount for the personnel costs of additional temporary personnel to the main applicant's institute. The personnel costs of staff already employed (incl. supervision costs) are not reimbursed. The contribution to personnel costs is paid directly to the host institution. The amount of funding depends on the academic level of the requested researcher (PhD student or post-doc), on the duration of the appointment and the time to be spent on the project (minimum of 1 year and at least 0.5 fte appointment). On a fulltime basis the amounts<sup>4</sup> are (subject to change):
  - PhD researchers: € 198,693 / 4 years;
  - Post-doc researchers: € 128,938 / 2 years.
- Alternatively, project researchers from developing countries can be provided with a net monthly living allowance. The living allowance is expected to cover all personal costs, including housing, medical costs, insurances and travel to and from work. The regulations of the main applicant's institute should be guiding for determining the amount of the living allowances. A general indication is:
  - PhD researchers: € 1,000 (in DC) / € 1,500 (in NL);
  - Post-doc researchers: € 1,400 (in DC) / € 2,000 (in NL).
- For each (DC and NL) engaged PhD or post-doc researcher, a bench fee of € 5,000 is made available that is paid directly to the main applicant's institute. This is a contribution to the personal costs in support of the research conducted by the PhD or post-doc researcher, for example, tuition, courses, a (laptop) computer, congress visits, books, the publication of a thesis, etc.
- Senior researchers may apply for a replacement or a support grant to a maximum of € 25,000 each. This replacement or support grant is specifically meant for short-term, programme-wide activities, such as writing an overarching publication:
- Replacement costs for one senior Dutch researcher to a maximum 0,5 fte for one year;
- Costs of (additional) allowances for one senior researcher from a developing country for a maximum of one year.

### Other reimbursable costs

The research budget should include all of the costs necessary for carrying out the proposed programme, with the exception of costs already covered by the bench fee. For some budget headings, certain conditions or maximum amounts of funding are attached to the WOTRO contribution.

For IPs to be awarded in the 2010/2011 competition, the following maximum amounts for budget headings apply to the WOTRO contribution to the IP:

- Joint workshop for project development: max. contribution: € 11,000;
- Research budget: max. € 14,000 on average per year for a fulltime PhD or post-doc researcher;
- Collaboration with stakeholders/ information/dissemination/networking activities: min. 5% and max. 10% of the total budget;
- Supporting / supplementary experts and undergraduate students who are not affiliated to one of the involved institutes /organisations in the programme: max. € 10,000. These costs can be part of the research and/ or collaboration/ dissemination budget.

Please contact the WOTRO office if you have any queries.

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<sup>4</sup> The amounts may be subject to change

### 3.3 When can applications be submitted

Integrated Programme grants are competed for twice a year. The entire procedure takes about 8 months. The evaluation and selection procedure is split into two stages. It is compulsory to submit a preliminary application. In general, deadlines for preliminary applications are in April and September. For an overview of the procedure, please see paragraph 4.1. These guidelines are for the full applications, deadline 15 February 2011.

### 3.4 Drawing up an application

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

All applications are evaluated according to a fixed set of criteria: Scientific Quality, Relevance for Development and Quality of Collaboration. For a detailed overview of the criteria used to evaluate the preliminary proposals, please see paragraph 4.2.

For details regarding the application form, please see paragraph 6.1.

### 3.5 Specific conditions

Applications (incl. preliminary applications) must fulfil the [General Terms and Conditions of NWO Grants](#)<sup>5</sup> and *all* of the following formal criteria in order to be admitted to the competition:

#### Focus

WOTRO IPs should focus on research relevant for development issues. The research must address a development or societal challenge and/or problem of local or global concern and includes a developing country or region. The research may be directed at the generation of new insights into and/or innovative solutions for development issues that fit into WOTRO's thematic framework (see Annex I) – or issues beyond the thematic framework.

#### Applicants

The main applicant should be a senior researcher employed by a NWO recognised grant recipient or by an international centre for scientific education based in the Netherlands. A senior researcher from the partner organisation in the developing country concerned with a PhD degree should be the co-applicant and a member of the coordinating team.

#### Developing countries

Developing countries include all low and middle-income non-EU countries that qualify for receiving Official Development Assistance (ODA), as defined by the OECD (see <http://www.oecd.org/dac/stats/daclist>).

#### Researchers

The research team must include post-doc or PhD researchers originating from a developing country with a minimum of one DC researcher. The research conducted by a PhD researcher must represent a discrete piece of work which is clearly of a standard to be submitted as a doctoral thesis, but its synergy and added value for the programme also need to be demonstrated. When an application is made while the researcher's identity is as yet unknown, it is up to WOTRO to decide whether or not this poses a problem for evaluating the application.

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<sup>5</sup> [http://www.nwo.nl/nwohome.nsf/pages/SPES\\_5VEDDR](http://www.nwo.nl/nwohome.nsf/pages/SPES_5VEDDR)

### Joint programme formulation and execution

The research programme and proposal development must be the result of a collaborative effort of all research partners and other relevant stakeholders involved. A stakeholder analysis should be part of the preliminary and full proposal. In addition, the organisation of a multi-stakeholder workshop is an obligatory part of the development of the full proposal. WOTRO may provide funding for organising the workshop up to a maximum of € 11,000 in the event the preliminary research proposal is selected for elaboration into a full proposal. An outline and planning for the joint programme elaboration workshop must therefore be part of the preliminary application. Please see '6.3 Tips for a participatory workshop' for tips for a participatory workshop. A summary report is required for the full application. Full applications must be accompanied by Letters of Support from the participating scientific institutes and from the involved stakeholders' organisations.

### Knowledge exchange

A communication plan directed at the preparation, uptake, translation and application of relevant research issues and results with stakeholders from outside traditional scientific communities must be part of the research programme. The budget for these activities must account for at least 5% of the funds and may not exceed 10% of the total budget.

### Duration

The maximum duration of the research programme is five years. Expenses directed at the implementation of results may be reimbursed up to one year after the research programme has come to an end. The maximum duration of a PhD research project is 4 years. For PhD researchers from DC's, a pre-PhD period of a maximum of 6 months is allowed if the necessity can be demonstrated. The maximum duration of a post-doc research project is 3 years. One 4-year post-doc position may be allowed if the researcher also has coordinating tasks and communication responsibilities.

### Budget

The research budget for the IP execution should meet the budget guidelines of NWO and WOTRO (see paragraph 3.2), and may not exceed € 700,000. The maximum budget includes the costs of the multi-stakeholder workshop. Unless stated otherwise in the application, it is assumed that the proposed IP can be carried out with the budget provided by the applicants. If the required budget exceeds the maximum contribution of WOTRO, guarantees for additional funding should be provided (mandatory for full proposals).

## 3.6 Submitting an application

The application should be made on the correct and fully-completed programme application form and must fulfil all criteria with respect to format, length of text, etc. Handwritten applications will be disregarded.

The application should be submitted electronically through the Iris account of the **main applicant** and should reach the WOTRO bureau before the deadline of **15 February 2011 12.00 hrs** (see also paragraph 6.1).

All applications are screened for compliance with the formal criteria as mentioned above and in paragraph 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

Integrated Programme grants are competed for twice a year. The entire procedure takes about 8 months. The evaluation and selection procedure is split into two stages. It is compulsory to submit a preliminary application.

#### First stage

The preliminary applications are evaluated and ranked by a Scientific Advisory Committee, supported by an evaluation of a Societal Panel. All applicants will be informed about the outcome of the preliminary selection procedure in writing. About 8 applicants will be invited to elaborate a full proposal. To enhance the collaboration with and input of the research partners and other stakeholders from the developing countries in the elaboration of the full proposal, it is compulsory to organise a workshop. Invited applicants may receive a financial contribution (‘IP partnership grant’) for this purpose.

#### Second stage

The full proposals are reviewed by (anonymous) international peers and by the Societal Panel. Applicants will then have the opportunity to respond to the issues raised in the review reports. The Scientific Advisory Committee evaluates and ranks the full proposals on the basis of the proposal, review reports and the applicants’ responses to these. The WOTRO Board takes a final decision on funding, based on the recommendations received from the Advisory Committee. A maximum of four IPs may be awarded in this call. All second-stage applicants will be informed in writing about the outcome of the final selection procedure.

Overview of the procedure:

<b>First stage: preliminary application</b>	
Application forms for preliminary application available via the WOTRO website ( <a href="http://www.nwo.nl/wotro/grants">www.nwo.nl/wotro/grants</a> )	June
Deadline for the submission of preliminary applications	Early September
Societal Panel consulted	September
Evaluation and selection of preliminary applications by Scientific Advisory Committee	October/November
Invitation sent to selected applicants to submit full proposal. Application forms for full proposal available on <a href="http://www.nwo.nl/wotro/grants">www.nwo.nl/wotro/grants</a>	November
Joint elaboration of full proposal with DC partners	November-February
<b>Second stage: full application</b>	
Deadline for the submission of full proposals	February
Start of the peer review and Societal Panel consultation procedure	February
Receipt of reviews, opportunity for response	April
Evaluation and selection of full proposals; applicants notified	May/June
Check and formal determination of budgets for awarded projects, formal letter of approval	June
Start of awarded IPs	June – May of the following year

### Appeals Procedure

If an applicant objects to a decision taken by the WOTRO Board, he/she can lodge a complaint with the NWO Appeals Committee. Any written appeal against a decision taken by the WOTRO Board must be lodged within six weeks from the day on which the notice of this decision was sent.

## 4.2 Criteria

All applications are evaluated according to a fixed set of criteria. The scientific excellence of the proposal is a prerequisite for awarding. In addition, the likelihood of providing a meaningful contribution to development and the added value of collaboration and networking are important components in the review. Among the applications evaluated as excellent and very good for scientific quality, a further ranking will be based on an equal weighing of scientific quality and relevance for development and to a lesser extent on the quality of collaboration.

### Evaluation criteria for full proposals

#### I Scientific quality

- Originality or innovative character, including the novelty of the integrative approach;
- Adequacy of the approach, including the coherence of the research questions and the overall methodology;
- The level of integration of disciplinary perspectives, data, methods and results;
- Feasibility in terms of infrastructure and time frame.

#### II Relevance for development:

- Originality in the problem and opportunity identification for issues of global and local development;
- Extent to which the research questions and intended research results are aimed at the identified development or societal problem or opportunity;
- Extent to which the programme is capable of providing answers to the identified development or societal problem or opportunity;
- Potential of getting research results into policy or practice.

#### III Quality of collaboration:

- Quality and added value of the international scientific and stakeholder collaboration;
- Extent of linking or embedding the research programme in larger (international) initiatives;
- Quality of the communication plan.

## 4.3 Composition of committee

The Scientific Advisory Committee consists of senior researchers with an interdisciplinary background. Preliminary proposals are evaluated by a committee of five to seven members. For full proposals, the composition of the committee is adapted and extended on an ad-hoc basis and tailored as much as possible to the applications submitted.

The Societal Panel advises the Scientific Advisory Committee on the relevance and potential benefit to development of the proposed project. The Societal Panel consists of practitioners and policy makers from the development arena. The composition of the responsible Scientific Advisory Committee and the Societal Panel is published on the WOTRO website.

# 5 Other information

## 5.1 Contact and information

WOTRO Science for Global Development

Website: [www.nwo.nl/wotro/ip](http://www.nwo.nl/wotro/ip)

For specific questions:

Phone +31 70 3440763

Email:

- Mr Martijn Wienia, [m.wienia@nwo.nl](mailto:m.wienia@nwo.nl) *Programme coordinator*
- Ms Yvonne Rondeltap, [y.rondeltap@nwo.nl](mailto:y.rondeltap@nwo.nl) *Programme secretary: general information and forms*

*Postal address:*

- NWO-WOTRO
- PO. Box 93120
- 2509 AC The Hague
- The Netherlands

*Visiting address:*

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

# 6 Annex: Further information

## 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. Your application may be disqualified if you exceed the maximum number of words or pages stated.

The Iris system can be accessed on the NWO website. Some additional remarks:

- 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 only contain 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](http://www.iris.nwo.nl));
- Iris will confirm the receipt of your application by e-mail.

Please note that the electronic application must be submitted through the Iris account of the main applicant of the IP.

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 Programme

Please indicate:

- Whether your application addresses (A) development issue(s) in a broad sense ('open') or (B) fits into WOTRO's thematic framework. If more than one theme is covered by the IP indicate a priority (1 for the main theme; 2 for the minor theme). Please motivate your choice in no more than 150 words;
- List the number of PhD and post-doc projects that are part of the IP;
- Programme 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 proposals has been submitted elsewhere as well. If yes, specify where the proposal has been submitted, as well as the amount requested.

### 2 Title

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

### 3 Research team

Please provide all the details requested.

#### 3a Research team: Applicants

- Main applicant in the Netherlands:  
The applicant must be a senior researcher and the future programme coordinator from the Netherlands (i.e. not one of the proposed researchers).

- Co-applicant from the partner institute in the developing country:  
Note that the research team must include a senior researcher from a developing country. He or she will act as the as co-applicant and must therefore also sign the application.

### **3b Research team: Other collaborators**

Provide a list of all other collaborators involved in the Netherlands, developing countries and other countries affiliated with the participating scientific institutes and key stakeholders' organisations. The list should include all the promoters of PhD students.

### **3c Research team: Researchers**

Provide the details of the PhD and post-doc researchers involved responsible for carrying out the various projects. You may annex their CVs to the application (with a maximum of 2 pages per CV).

### **3d Research team: Experts**

If applicable, provide the details of supporting / supplementary experts and undergraduate students, neither of whom are affiliated with one of the involved institutes / organisations.

## **4 Summary of the research proposal**

Provide a non-technical summary of your research proposal that will be easily understood by a broad, non-scientific audience. The summary should briefly describe the developmental opportunity and/or problem addressed, the main objective(s), research question(s) and approach(es) and anticipated results in no more than 400 words. If your proposal is successful, this summary will be published on the WOTRO website. Please specify the number of words used.

## **5a Description of the programme**

The description of the overall programme should not exceed the maximum of 2500 words. Please specify the number of words used.

### **5a Description: Rationale and background**

Describe at least:

- the developmental opportunity and / or problem addressed;
- context of the opportunity and/or problem addressed: present a stakeholder analysis and describe how this is related to relevant international or local policy and/or research agendas;
- why and how the research links up to themes, challenges, debates or approaches;
- which research gaps are addressed and why existing knowledge/insights or current research efforts are insufficient.

### **5b Description: Programme outline**

Please provide the hypothesis/research question(s) and methodology, as well as the main objectives and expected results. Specify and describe the main objectives, expected results for the scientific, developmental and collaborative perspectives and indicate how the anticipated outcomes will have potential for impact on academic debates, development policy or practice and knowledge and scientific capacity development. Note that Section 9 - the keyword summary - must reflect the information presented in this Section and vice versa. A careful tuning of the programme description with the keyword summary may enhance the clarity and conciseness of the programme.

### **5c Description: Interdisciplinarity and integration**

Please describe the interdisciplinary and integrative approaches in terms of e.g. central concept or frame used, how the research stands together as a coherent whole, which and how perspectives are woven together and disciplinary insights are intertwined. Include the methodological aspects of integration of research activities and results.

**5d Description: Innovative aspects**

Please indicate the innovative aspects of the programme, e.g. idea, approach, methods used.

**6 Project descriptions****6a Project descriptions**

Please present the details for each of the research projects to be carried out by PhD or post-doc researchers within the programme: title of the project, name(s) of promoter(s) and/or (main) supervisor(s), name and titles of the (PhD or post doc) researcher (if known), and a brief description of each project. For PhD researchers please specify the Research School. The description of each the projects should not exceed the maximum of 500 words. Please specify the number of words used.

**6b Description replacement/ support grant**

If applicable, also provide a short description of the activities of the senior researcher(s) for whom a replacement and/or support grant is requested.  
The description should not exceed the maximum of 250 words.

**7 Time table**

Provide a detailed work plan and time schedule of the programme. Project and overall programme activities, e.g. approaches for achieving the objectives, milestones concerning communication, monitoring, publication or production of 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 1 A4 page.

**8 Partnership and track record**

This Section should not exceed the maximum of 4 A4 pages.

**8a Partnership: previous collaboration**

Provide details on previous collaboration between all scientific and non-scientific stakeholders.

**8b Partnership: workshop**

Include a one A4 page 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. If applicable, specify the future means of engagement of these stakeholders.

**8c Partnership**

Explain the role and specific contribution of each of the collaborators listed in Section 3, also in terms of complementarities. Describe the arrangements put in place to ensure that collaboration with partners and end-users is effective and sustainable.

**8d Partnership: recent publications**

You may include a maximum of 5 recent relevant publications for each of the research groups and collaborators' organisations. Include whenever possible joint publications. For scientific manuscripts only refer to those that have been accepted for publication or that have already been published in recognised scientific literature. Please provide the following details in full: author(s), year, title, journal or series in which the publication appeared, volume, pages, and (if applicable) publisher and place.

Section 8 d. should not exceed the maximum length of one A4 page.

**8e Partnership: NWO research funding**

Include **references** to current or past NWO funded research.

## 9 Management and Monitoring & Evaluation

Please describe how the programme will be managed and how the monitoring and evaluation of the progress against the objectives and anticipated results will be ensured. This Section should not exceed the maximum 500 words.

## 10 References

The reference list should have a maximum length of two pages. Provide the following details in full: author(s), year, title, journal or series in which the publication appeared, volume, pages, and (if applicable) publisher and place.

## 11 Keyword summary

This Section should not exceed the maximum of 3 A4 pages.

Specify the overall objective of the programme and the overall objective(s) and the assumption/risks (i.e. events, conditions or decisions that could affect the progress or success of a programme that are largely beyond the control of the project management) for the three perspectives:

- I. Scientific quality;
- II. Developmental relevance;
- III. International scientific and multi-stakeholder collaboration.

Please see '6.3 Tips for a participatory workshop' for tips on how to use the workshop to develop the keyword summary together with stakeholders of the programme.

Describe for each of the perspectives, the anticipated results, the activities, target groups and indicators (i.e. quantitative or qualitative factor(s) or variable(s) that provide a time-bound and realistic basis for assessing achievement, change or performance). You may copy the tables in case more than one specific objective is aimed at.

I. Scientific quality:

What is the programme meant to accomplish in a scientific sense? Please indicate the specific objective(s) and main results (e.g. insights, breakthroughs, new theories/paradigms) appropriate for (each of) the programme's specific objective(s). The results should be aimed at scientific innovation, including innovative, interdisciplinary approaches. For each of the results an activity or group of activities as well as the target groups and indicators should be formulated.

II. Developmental relevance:

What is the programme meant to accomplish with regard to the developmental issues at stake and getting the research programme into policy or practice? Please indicate the specific objective(s) and main results (insights, knowledge, products, changes in development practice and policy) appropriate for the programme's overall developmental objective. Please refer to the geographic scale (local, regional, global). Results should be aimed at governmental, inter-governmental and non-governmental institutions relevant to the developing countries. For each of the results an activity or group of activities as well as the target groups and indicators should be formulated.

III. Quality of collaboration:

What is the programme meant to accomplish with regard to international scientific and multi-stakeholder collaboration? Please indicate the specific objective(s) and the main results (training, networking, follow-up activities) appropriate for the programme's overall collaborative objective. The results should be aimed at effective and sustainable scientific partnerships; capacity-building; ensuring developmental relevance, usability and use of the expected research results and networking. For each of the results an activity or group of activities as well as the target groups and indicators should be formulated.

## 12 Communication plan

Please present a summary of the communication plan and refer to:

- Key stakeholders: the scientific and non-scientific collaborators, targeted users, beneficiaries or other stakeholders who are directly involved to use or take the results to further stages in getting the research into practice and policy.
- International research collaboration: intended communication with communities, networks and platforms who would be interested in linking up with the research partners.
- Scientific output: the anticipated results in terms of publications and other output, as well as enhanced scientific capacity and skills.
- Broader public: target beneficiaries or audience who could benefit from or would be interested in being informed on the research activities, progress and results.

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

### **13 Funds requested from WOTRO**

Specify the budget items as detailed as possible and present details on the calculations (e.g. price per unit, number, frequency). Please note the restrictions that apply to the WOTRO contribution to the total programme costs. Please consult paragraph 3.2 of the brochure before completing this Section.

#### **13a Overall budget**

Please provide a summary of the total budget by providing an overview of the totals from the itemised detailed budget as requested below. Please note that the costs of the workshop are part of the total maximum budget of €700,000.

#### **13b Detailed budget personnel**

List the funds requested from WOTRO. Provide a detailed itemised and reasoned budget.

I Costs of temporal employees at a Dutch institution:

Note the total number of f.t.e. of PhD and post-doc researchers to be affiliated as temporary employee at a Dutch institute.

II Allowances for DC researchers:

Specify the costs of support for DC researchers to be provided with a living allowance. The number of months per year to be spent in the Netherlands and in the developing country must be specified.

III Replacement and support grant:

Present the costs for a senior researcher who is member of the research team:

- in the Netherlands for replacement costs of educational tasks;
- in the developing country for support allowances and/or replacement.

IV Supplementary / supporting expertise:

Specify the costs of supporting / supplementary expertise (consultant or MSc students) to be hired in the programme.

#### **13c Costs of communication**

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. Please note that NWO does not reimburse costs of scientific publications.

#### **13d 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.

### 13e Additional financial sources

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

#### *Annexes*

Please provide a list with the details of the annexes:

Mandatory: letters of support from scientific/non-scientific collaborators; financial guarantees from other funding agencies (if applicable).

Optional: CVs of researchers full-time involved in the research (2 A4 pages for each researcher at maximum), workshop details are included (2 pages A4 maximum).

Note that no other annexes are allowed.

#### *Signature*

The application must be signed by the main applicant, the co-applicant and the main collaborators (promoters, main supervisors, key stakeholders). Electronic or scanned signatures are accepted.

## 6.2 Administration and management

The main applicant and grant beneficiary will be the principal investigator and:

- Must assure the scientific interaction and synergy within the programme.
- Is formally responsible for the proper execution of the approved research, communication and reporting, including personnel matters, scientific progress and output and financial management and administration.
- Must notify WOTRO of significant changes to the original plans. WOTRO must formally approve the proposed alterations.

Once an application has been approved, the research budget will be checked against the NWO and WOTRO administrative guidelines and a final maximum budget for the entire duration of the IP will be determined. The principal investigator will receive a formal letter of approval.

Before the programme can start WOTRO needs to formally approve candidate project researchers. For all researchers a Personnel Information Form (PIF, researcher from NL) or a Personal Details Researcher form (PDR, researcher from DC) needs to be sent to WOTRO one month before the proposed starting date of a project.

In the first year of the programme a Communication and Monitoring & Evaluation Plan must be fully elaborated and approved by WOTRO.

## 6.3 Tips for a participatory workshop

### **Introduction**

The present “Tips 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.

### **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?

### **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:

- 1) Review the list of the already identified stakeholders of the programme;
- 2) Assess the importance and influence of each of these stakeholders;
- 3) 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
<i>(for example businesses, banks, etc.)</i>	<i>(for example local governments, ministries, civil servants, elected representatives, etc.)</i>	<i>(for example local NGOs, international NGOs, trade unions, churches, foundations, etc.)</i>

#### 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**

##### What is a problem tree?

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.

#### Why do a problem analysis using a problem/objectives tree?

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.

#### How to do the exercise with the problem/objectives tree in the workshop?

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.

#### Problem tree:

- 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 matrix which links activities to a hierarchy of objectives and involves indicators of performance, means of verification and risks and assumptions. 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 (keyword summary).

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 team sport.

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 of the programme	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(s)	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"
Assumptions/risks	Conditions that are necessary for results to lead to specific objective(s).	For example: "Low turn-over of trained staff."
Expected main results	Direct results of the programme activities. The programme is responsible for their achievement.	For example: "Scientific articles completed and submitted for publication"
Activities/methods	Actions that have to be carried out to achieve the intended results.	Start with a verb, for example: "Organize a training".
Target Groups	The group of people the activity is aimed at	For example: "Scientists" or "farmers".
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"

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.

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