



WOTRO Science for Global Development

Call for full proposals

Strategic Actors for Inclusive Development Research for Inclusive Development in Sub-Saharan Africa

2014



**Ministry of Foreign Affairs of the
Netherlands**

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Contents

1	Introduction	1
1.1	Background	1
1.2	Available budget	1
1.3	Validity of the call for proposals	2
2	Aim	3
2.1	Research focus	3
2.2	Research themes	5
2.3	Research approach	6
2.4	Target groups	7
3	Guidelines for applicants	8
3.1	Who can apply	8
3.2	What can be applied for	9
3.3	Budget	10
3.4	Impact pathways, monitoring & evaluation	11
3.5	When can applications be submitted	12
3.6	Specific conditions	12
3.7	Submitting an application	12
4	Assessment procedure	14
4.1	Procedure	14
4.2	Criteria	15
4.3	Governance	15
4.4	Conflict of Interest	16
5	Contact details	18
5.1	Specific questions	18
5.2	Technical questions about the electronic application system Iris	18
6	Annexe(s)	19
6.1	General instructions for applicants	19
6.2	Specific instructions for applicants	19
6.3	Schematic example of an impact pathway	24

1 Introduction

1.1 Background

During the past decade, optimism about the future of sub-Saharan Africa has gained ground. Many African countries have shown high and sustained economic growth. The sobering reality, however, is that in spite of this progress, large groups of poor and vulnerable people have remained excluded from increased welfare. Social indicators have picked up only modestly, unemployment has remained high, and income inequalities within countries have widened. The failure to structurally tackle inequalities poses a risk for the long-term sustainability of economic growth and moreover undermines social cohesion. In fact, the World Economic Forum's survey placed 'severe economic disparity' at the top of a list of global risks for the decade ahead. This reality calls for a commitment on the part of all national and international development actors to make efforts for 'inclusive development' a top priority. Key strategic actors within countries will have to play a central role in promoting inclusive development, but there is as yet much uncertainty about how this can best be supported. This Call therefore invites research consortia to submit research proposals that investigate the roles that strategic actors across state, society and economy play in bringing about the effective implementation of policies realising inclusive development. This call is part of the Research for Inclusive Development in Sub-Saharan Africa programme.

Knowledge for development

Development policy has become increasingly complex. This is due to the expanding global development agenda, the growing differentiation of country situations, the new players in the development arena, and the increasing importance of knowledge-driven innovations to achieve sustainable and equitable development. The challenge is even more urgent given the diminishing role of aid vis-à-vis other resource flows. The Dutch government acknowledges that more effort needs to be invested not only in knowledge to make donor policy more effective, but also in knowledge *within* developing countries. In this process, there is a need to tap into both academic and practice-based knowledge as well as to ensure a more effective uptake and use of this knowledge by policy-makers and other relevant practitioner organisations¹. To support this process, the Dutch government has installed and supports five Knowledge Platforms with international membership. One of these platforms, the Knowledge Platform for Development Policies, will closely engage with the research projects that will be awarded by the present Call.

1.2 Available budget

This Call is administered by WOTRO Science for Global Development and financed by the Ministry of Foreign Affairs. The total budget available is €2,937,500. A maximum of €587,500 can be applied for per research proposal.

¹ *Practitioner organisations* may include any type of organization other than research or higher education organisations that represent a group of people actively engaged in inclusive development policy or implementation thereof, public organisations (governmental departments of line ministries or local governments, extension services, et cetera), as well as private organisations (including for-profit enterprises and related support organisations and private non-profit organisations such as NGOs, cooperatives, social movements, unions, civil society organisations et cetera).

1.3 Validity of the call for proposals

This Call for proposals is valid until the closing date 11 March 2014, 12.00 noon CET. In case adjustments to the Call are deemed necessary, WOTRO reserves the right to publish these on the Strategic Actors website².

² <http://www.nwo.nl/en/funding/our-funding-instruments/wotro/research-for-inclusive-development-in-sub-saharan-africa/strategic-actors/strategic-actors.html>

2 Aim

This Call aims at generating insights into the conditions under which actors (across state, society and economy) who potentially have the power and capacity to overcome political and institutional obstacles, will actively pursue inclusive development.

Specific objectives of the Call are:

- Contributing to new, evidence-based knowledge on motives, incentives and structural favourable conditions for strategic actors to pursue goals, tactics and engagement strategies that bring about effective implementation of inclusive development policies;
- Sharing of this knowledge with relevant stakeholders (strategic actors and other practitioners having a stake in inclusive development) to facilitate uptake and application of the newly acquired knowledge.

This general aim and these specific objectives of the Call translate into a specific research focus, in a number of research themes, in a specific research approach, and in a delineation of target groups.

2.1 Research focus

The Platform is primarily interested in the underlying power structures and incentive systems that perpetuate the skewed distribution of income and non-income assets and explain why sound policies to reverse this systematically fail to be effectively implemented. Therefore, the Call focuses on the political dimensions of inclusive development and on the role strategic actors (both from an institutional and from an agency perspective) can play into carrying out effective reforms. The geographical focus of research proposals should be on one of the partner countries of Dutch development cooperation in Sub-Saharan Africa³.

Inclusive development is a concept under construction that is increasingly used within the development discourse. The concept has recently been referred to in major development reports, national vision documents produced by African countries, as well as international conferences and research programmes. While there does not yet seem to be one authoritative definition of 'inclusive development', its relevance in today's world of growing inequalities is undisputed. The essence of inclusive development is that it implies a fight against inequality (not just poverty) within societies, both income-related inequalities and social and political disparities (e.g. gender-based inequalities, or horizontal inequalities between social groups) that determine people's opportunities and wellbeing. In other words, inclusive development occurs when average achievements on income *and* non-income dimensions of wellbeing (as reflected in the Human Development Index) improve *and* inequalities in these achievements fall.

The second key term of this Call is effective *implementation*. Evidence shows that the failure of reform attempts in developing countries is often not primarily due to problems of funding or capacity, but to resistance to change among the political and/or commercial elites. In other words, the politics of policy-making can make or

³ Ghana, Benin, Mozambique, Ethiopia, Kenya, Uganda and Rwanda.

break the advance towards inclusive development. This implies that research projects take a political instead of a mere technical approach. The glaring question is no longer *how* countries can make government budgets and policies more inclusive, but *why* they don't do so. This is why the Call focusses not so much on what should be done to gear policies towards inclusive development but on investigating the underlying power structures and incentive systems that explain why sound policies systematically fail to be effectively implemented and how strategic actors that have the power and capacity to overcome the many political and institutional obstacles to implementing inclusive policies, can play a role in nudging 'unwilling' governments into carrying out effective reforms

Strategic actors: agency and institutions

The third key term is *strategic actors*. Development policy has tended to focus on a rather limited set of actors, i.e. central government (particularly elites) and traditional civil society actors (with a particular focus on NGOs). Much less attention has been paid to institutions and actors pertaining to the wider 'political society' (e.g. parliaments, political parties, oversight bodies), to other realms of civil society (e.g. trade unions, consumer organisations, social movements, youth organisations, etc.), to the increasingly vocal local government sector, to the 'development-oriented' parts of the private sector (both formal and informal), or to 'non-traditional actors' (including the informal sector, religious movements, the army, insurgents, criminal organisations, etc.).

Strategic actors may be viewed from two perspectives, (1) an institutional perspective and (2) an agency perspective. The question is not just 'who are the actors?' who can exercise traction on policy processes, but also 'what is the potential role of these various actors in inclusive development processes and what are their goals, tactics and engagement strategies with the state'. It implies a better understanding of elite ethics, incentives and actions, as well as the incentives and motives of non-traditional actors (e.g. informal entrepreneurs, army, insurgents, religious movements, criminal networks) in facilitating inclusive development.

1. Institutional perspective

This perspective equates strategic actors with strategic institutions. Strategic institutions have a proven capacity to change a (political, economic, social, human rights, civil participation etc.) state of affairs. This perspective is based on the traditional governance or state strengthening approach that considers a state's strength – and by extension its ability to promote inclusive development – a function of the capacity of its formal institutions. Research carried out from this perspective focuses on what needs to be done to realise inclusive development in key policy areas. The institutional approach tends to single out certain strategic actors for research or support: ministries, local governments, parliament, media, civil society, etc.

2. Agency perspective

This perspective goes beyond the formal or technocratic aspects of institutions and investigates the incentives and motives that drive actors' behaviour. These incentives can be the pursuit of private or public interests, political survival or ideology and are often pursued through informal channels. The agency perspective sheds light on how and why change happens – or doesn't happen – and implies a more incremental approach to development and state strengthening that is less attached to a Western blueprint. This perspective on social change demands that donors are capable of identifying existing domestic change processes rather than advocating a normative roadmap of best practice. Effective change comes about through knowledge-based, iterative processes. The agency approach tries to grasp the dynamic power connections between different actors to deduct who is strategic in a certain change process.

Research projects awarded by this Call ideally take into account both an institutional perspective and an agency perspective when investigating the dynamic landscape of relevant traditional and non-traditional actors (on local and national levels), their interconnectedness and their mutual influence.

2.2 Research themes

Policy areas

In order to make advancements towards inclusive development, six critical policy areas can be identified. These policy domains currently function as drivers of inequality, and should instead be transformed into triggers of inclusive development. They include: 1) economic growth, 2) employment policies, 3) social protection, 4) basic services, 5) territorial development and spatial differentiation, and 6) quality of governance. This Call focuses on one (or more if inter-linkages are an important factor) of the following three policy areas:

1) *Economic growth*

There is a strong need for structural transformation of African economies if equitable growth is to be achieved. Africa's growth and poverty reduction cannot be sustained with a continued dependence on low value primary commodities. Countries need to diversify their economies if they are to offer economic and social opportunities to their (young) citizens. This requires strengthening of the strengths and opportunities of the primary sector, but at the same time fostering industrial development and a structural shift to high value products and services. Effective economic governance is key to this process.

2) *Territorial development and spatial differentiation*

The geographic distribution of income and poverty in many African countries is skewed. There are persistent concentrations of poor people in specific regions and sectors, even in countries with high growth. Spatial issues get increased attention in policy-making and research, as Africa is experiencing complex processes of 'de-territorialisation' (fuelled by migration, globalisation and subnational dynamics) and 're-territorialisation' (linked to new regionalisms and processes of bordering).

3) *Quality of governance*

Many developing countries, particularly those in a situation of conflict and post-conflict, have a governance system that is not inclusive. The majority of people in such countries live outside the protection of the law, and have very limited ability to influence institutions, legal reforms and socio-economic policies. This is particularly true for women, people living in poverty, minorities and other marginalised groups. This situation perpetuates the existence of national and local political institutions that are neither transparent nor accountable to their citizens. For inclusive development to occur, such governance landscapes need to be structurally transformed.

For each of the three policy areas above, researchers are advised to focus not only on its contribution to inclusive development as an outcome, but also on inclusive development as a process. A focus on process means assessing the inclusivity of policy formulation and implementation processes, the quality of democratic governance, the existence of a public sphere as well as space for citizen voice and participation, the respect for political, social and economic rights, etc. Researchers are also advised to clarify the type of inequalities they focus on, by indicating the groups or categories at risk of exclusion.

The Call specifically invites research that focuses on in-country processes of politics and policy making, which for a large part determine rising or falling inequality. It is important that the main research questions are rooted in the knowledge needs of Southern stakeholders and reflect their understanding of the concept of inclusive development.

Nevertheless, the research will acknowledge the global (economic, financial, political, technological) forces that impact these in-country processes and their potential for progress towards inclusive development. Moreover, for comparative research purposes, policies and approaches in other relevant countries may be included.

Projects can choose to take a historical perspective or to focus on emerging change processes. In both cases, the studied movements or (coalitions of) actors should be selected based on the criterion that they have (or had) a clear sense of where and how success can be achieved. This does not imply that failure of interventions – an essential component of transformation processes – cannot also be a valid (sub) area of research.

2.3 Research approach

Research methodology

This Call does not seek to generate fundamental research leading to theories on how change happens in societies and economies. Rather it focuses on research that may lead to practical advice and policy prescriptions for development practitioners. It aims to produce evidence-based knowledge that can inform policies and interventions of governmental and non-governmental decision-makers and other practitioner organisations located in the African countries involved, as well as Dutch and international donor and development organisations, donors, governments in development countries and civil society actors. Nevertheless, the research is expected to build on and draw from existing theories and in-depth analyses of historical change processes.

The Call specifically aspires to render the development efforts of the different actors more strategic. For this reason, research projects may include action-oriented research that addresses concrete development challenges, research that focuses on on-going change processes and how these can be influenced. This may cover the identification of knowledge needs of strategic actors and the analysis of tactics they (could) use to overcome resistance. Participatory action research linked to the pursuit of inclusive development by strategic actors that focusses on learning from concrete experiences to promote implementation of inclusive development, is welcomed.

Political economy analysis is widely used to map the relevant actors, to investigate local structures which shape the policy arena and to determine where there is traction for change. As a result, we often know quite well which policies can help make development more inclusive. However, it is much less clear how the actual implementation of such policies can be ensured. Hence, the focus of this Call is on 'how can traction be translated into action with impact?' Research projects awarded by this Call will take political economy analyses one step further by focusing on local transformation processes that are actually taking place and by investigating how local strategic actors can bring about this transformation through effective action and how donors can support this optimally. In other words, the research projects will translate the outcomes and insights of political economy analysis into, on the one hand, theories of change and, on the other hand, concrete perspectives and methods for action towards inclusive development.

Research projects must prove to be multidisciplinary and should include both qualitative and quantitative methodologies.

Stakeholders

To enhance demand articulation, ownership and the effective use of results, relevant practitioner stakeholders must engage in all stages of the research project, from its inception to sharing the results. To this end, applying research consortia must include practitioners from the relevant partner country (local government institutes, the business community, civil society or locally active donors) that can operate as strategic actors or wider stakeholders with an interest in the research, and it must be shown how they will be engaged in all stages of the research. This has to start with a demand assessment and identification and formulation of the main research questions. A preparatory workshop with end-user practitioners (stakeholders beyond the members of the research consortium) to formulate the full proposal, is obligatory.

Evidence of broader practitioner engagement throughout the project will be an important element in the assessment of project proposals. Such engagement may be demonstrated by means of references to involvement in project preparation; active involvement as a partner in the consortium or team; letters of support; proven links between the research programme and on-going projects of NGOs or private enterprises; and by organising regular stakeholder dialogues.

2.4 Target groups

The *ultimate target group* to reap the benefits of this Call consists of those segments of the population in the seven African partner countries that are marginalised and excluded from mainstream development, especially women and minorities and poor groups concentrated in specific regions.

The *intermediate target group* consists of those individuals and organisations that will be directly impacted by the outcomes of the projects: those that will adapt, adjust and apply the generated new knowledge and insights in order to apply new perspectives for action, here the strategic actors that wield implementation of policies for inclusive development. This intermediate target group will be found primarily among practitioner organisations from the relevant partner country⁴ (local governments institutes, the business community, civil society) and wider stakeholders with an interest in the research such as local and international donors.

The *most immediate target group* consists of researchers from the Netherlands and from the African partner countries and their consortium partners that apply for this Call. The research projects will be instrumental in reaching the intermediate and ultimate target groups.

⁴ Rwanda, Benin, Ghana, Ethiopia, Kenya, Uganda, Mozambique.

3 Guidelines for applicants

3.1 Who can apply

A research project is carried out by researchers from various disciplines and backgrounds and is directed by a consortium. Consortia consisting of different partner organisations may apply for funding under this Call. The consortium must consist of at least:

- A research institution⁵ from one of the seven partner countries;
- A Dutch research institution;
- At least one practitioner organisation from the relevant partner country.

Extending the consortium to other practitioner organisations, including international organisations is welcomed.

Each partner organisation is represented in the consortium by at least one applicant. Please note that each individual (main and co-) applicant can participate in only one project proposal. To safeguard scientific objectivity and academic independence, the research methodology and the process of conducting the project will be coordinated by the main applicant who must hold a senior position in one of the research institutes involved.

The main applicant is responsible for external representation of the consortium. The research institute employing the main applicant will take responsibility for coordination of the research project, the secretarial duties, the day-to-day management and financial affairs of the research programme. If so desired, the main applicant may delegate the financial administration of the project to its research counterpart. In that case, a signed agreement and a transparent description of responsibilities must be included in the proposal. However, the main applicant acts as the only point of contact in all dealings with NWO-WOTRO.

The consortium partner organisations will steer the process of demand articulation, translate demands into relevant research questions, coordinate communication, knowledge and capacity strengthening activities, give advice on research, feed-back (intermediary) research outputs into relevant practitioner communities, and support the application of new knowledge and insights.

The participating institutes/organisations have to specify their input to human and financial resources in their support letter attached to the full proposal.

⁵ Research institutions include universities and higher education institutions that:

- have a public task, carry out independent research and are financed for at least 50% by public means;
- have no profit motive other than that for the purpose of further research;
- whose researchers enjoy freedom of publication in the international academic literature.

Think-tanks, research consortia or international centres for scientific education (e.g. in the Netherlands: MSM, UNESCO-IHE) meeting these criteria may also be listed as research institution. The organisation employing the main applicant should be a legal persona in order to be able to receive funding.

3.2 What can be applied for

A project proposal must consist of a coherent set of different activities. The activities must be properly integrated, and output and outcomes should contribute to the objectives of this Call as stated in section 2.1.

Research projects should be rooted in Southern demands. Consortia must provide a proper contextualisation of the proposed project within the country or countries concerned and the relevant national or global policy frames. A clear project design should be developed, starting with the research's linkages with development pathways and Call objectives. The project design should also address the linkages among project partners, including feedback, supervision and documentation.

Workshop for proposal elaboration

Development and execution of the application must be a collaborative effort of the consortium members, and involve practitioner stakeholders beyond the consortium. A stakeholder analysis must be part of the preliminary and final application. If preliminary applications are selected for the formulation of a final application, a joint project elaboration workshop that involves all consortium members and a broader group of practitioner stakeholders is to be organised by the consortium. For this workshop that aims at accentuating the research questions and attuning them even more towards specific local demands and circumstances, a grant of maximum €15.000 will be provided. For that reason, an outline and planning for the joint project elaboration workshop must be part of the preliminary application.

Dialogue, knowledge sharing, communication & dissemination

Throughout the course of the project, the consortium is expected to maintain regular dialogue with external stakeholders to safeguard that the project is on track in addressing stakeholder demands. Moreover, the project is expected to actively undertake knowledge sharing activities to make knowledge available to and accessible for a broader group of relevant (local, national, international) practitioner organisations. The consortium should share progress and preliminary results of the project, for example by organising workshops and training activities for these groups and by disseminating papers, presentations and preparing policy briefs. A description of such activities focusing on dialogue and knowledge sharing is to be included in the project proposal.

In addition, to create feedback loops and to maximise impact, the project consortia are also expected to actively participate in Knowledge Platform activities and to engage with its local networks. For this, the Knowledge Platform on Development Policies will organise and fund a final international workshop for all the awarded projects of this Call. All awarded project consortia are expected to attend this workshop.

Capacity strengthening

Research proposals should indicate how the project will contribute to "on the job" research capacity strengthening of individuals or groups of individuals in the partner countries, for instance by involving young scholars from the partner countries and by engaging non-academic actors in the research process. In addition, communication training for researchers or policy labs where both researchers and practitioners can gain insights in how to influence policy, may enhance the capacity of researchers to bridge the gap between research and policy.

3.3 Budget

The grant should be regarded as a contribution to the total costs associated with the proposed activities of the research project. Applying projects probably need additional funding (in cash or in kind) from other sources, such as from universities (e.g. the costs of supervision and overhead) or other partners. Consortia should valorise the in kind contribution including costs of research personnel and materials to the project and calculate the total in kind (and possibly cash) contribution to the project.

The budget requested for a research project under this Call should meet the budget and administrative guidelines of NWO⁶ unless stated otherwise in this Call text. The maximum subsidy requested may not exceed €587,500. The project duration may not exceed 30 months (2.5 years).

The applicants can budget for costs to be made by all members of the consortium that are directly attributable to the research project.

Personnel costs

For determining the amount of reimbursable personnel costs, the legal regulations of the employing organisation are guiding. For example, for costs of personnel employed by a Dutch research institution the tariffs for the different personnel categories are based on the NWO-VSNU agreement⁷. However, salaries should not exceed the maximum gross (before tax) full-time monthly rates of € 3000 for (technical) support staff, € 4200 for junior staff and € 6000 for senior staff. The total personnel costs may amount to a maximum of € 382,500 per project with a running time of 30 months.

If PhD researchers are included in any of the projects under this Call, the consortium must show in the application that the PhD's research and the proposed project complement each other, and that complementary funding is available to finalise the PhD's thesis.

Research costs:

- Travel expenses and accommodation costs of the expenses incurred in short trips (< 3 months) of project staff directly related to the project. (Max € 30,000);
- Durables (buildings excluded), consumables, technical support staff not exceeding the maximum gross (before tax) full-time monthly rate of € 3000. (Max € 45,000);
- Bench fees: for each full time researcher and practitioner of the consortium that is a member of the executing project staff, a bench fee of € 5000 can be made available. The bench fee serves as a contribution to the personal costs in support of the research conducted by the team member, for example tuition, (laptop) computer, books, publication fees, et cetera.

Knowledge sharing costs:

Activities organised by the consortium (workshops, policy briefs, web blogs, video movies, television interviews, radio items, et cetera.) aimed at dialogue and knowledge sharing with practitioner stakeholders (beyond the consortium). (Max:

⁶ <http://www.nwo.nl/en/subscription-documents/nwo/legal/nwo-regulation-on-granting-may-2011>

⁷ See <http://www.nwo.nl/financiering/hoewerkt-dat/Salaristabellen> (available only in Dutch)

€50,000). Travel expenses for consortium members are excluded as they are covered by the budget item *Research costs*.

Mid-term and final review costs:

Obligatory workshops for the mid-term and final review of the project with external stakeholders. (Max € 30,000).

Capacity strengthening:

Capacity strengthening and training activities beyond the individual PhD and post-doc levels, such as capacity strengthening of master students on the job, developing courses for practitioners, researchers or other relevant stakeholders, role plays, et cetera (Max € 35,000).

In kind co-funding:

Office space, basic facilities, consumables, depreciation costs, and administrative assistance provided by the host institutions are not reimbursable but must be valorised and listed as (in kind) co-funding to the project.

Personnel costs other than the ones mentioned cannot be covered by the subsidy. These costs also should be included as in-kind co-funding, up to a maximum of 1250 hours/FTE/year. For such co-funding to be admissible, the person involved should have essential expertise for the project that is not available within the academic groups involved. The effort can be monetised by using maximum gross (before tax) full-time month rates of € 3000 for (technical) support staff, € 4200 for junior staff and € 6000 for senior staff.

Please note that participation in the activities of the Knowledge Platform cannot be budgeted as in-kind contribution.

3.4 Impact pathways, monitoring & evaluation

For research to be funded under this Call, the following performance indicators have been formulated:

- Use of the studies in the formulation and/or implementation of effective strategies and tactics by strategic actors fostering inclusive development and practitioners supporting them, including local donors.
- Use of the studies in policies and practices of members of the Platform, in particular in the development policy of the Dutch government and private actors.
- Contribution of the studies to the local research agenda and follow-up research.

A detailed project impact pathway should be part of the full proposal. Each project should explicate how the project works towards the realisation of the objectives of the Call by sketching an impact pathway. In this pathway it is envisioned how the activities result in output and how these contribute to outcomes and impact with verifiable indicators for the output and outcome levels (for an example see Section 6.3). This will be used for monitoring & evaluation of the project and for an outcome evaluation at the level of the entire Call. The impact pathway needs to specify how the project expects to contribute to the above performance indicators.

The project will be monitored mid-term and evaluated at the end of the project's running time. For both, the consortium has to organise a self-assessment which includes a workshop organised by the consortium where progress and results are discussed with the project team and a broader group of stakeholders. The report of the workshops (including a list of participants), a policy brief based upon the

preliminary results, and a financial report must be sent to NWO-WOTRO in order to share project progress with the Knowledge Platform.

The final evaluation report must be a reflection on the projects' outcome pathway and its indicators and on the process and conclusions of the final workshop. The final report must include a policy brief based on the results as well as a financial report.

3.5 When can applications be submitted

Full proposals may be submitted until **12:00 noon (CET), 11 March 2014**.

The entire evaluation and selection procedure takes about 9 months and will be conducted in two stages: an application and assessment of pre-proposals, including a request for a workshop, and upon invitation, an application and assessment of a full proposal. A preliminary application is mandatory. For an overview of the procedure, please see Section 4.1.

3.6 Specific conditions

To be admitted to the competition, applications must fulfil the NWO and WOTRO Regulations on Granting as well as all of the formal criteria mentioned in this call. With regard to accountability of the projects, the General Provisions of the NWO regulation on granting⁸ apply unless stated otherwise in this Call text. In addition, with regard to ownership of results, the conditions as set in the WOTRO Regulations apply⁹. Furthermore, submitting a proposal implies that the consortium agrees with the free use of the Results by the Kingdom of the Netherlands, should the occasion arise. The rights of Results can only be transferred by its owner to a third party on the condition that this stipulation is included in the transfer.

3.7 Submitting an application

Consortia applying for a grant are advised to write their applications for a broad audience: proposals should be clear and comprehensible to international practitioners (from the corporate sector, development policy and practice sector) and to research experts from different disciplinary backgrounds.

An application can only be submitted to NWO via the electronic application system Iris. This must be done by the main applicant. Applications not submitted via Iris will not be eligible for the selection procedure. The main applicant should submit his/her application via his/her own Iris account.

If the main applicant does not yet have an Iris account, this should be created at least one day before the submission deadline, in order to be able to solve any possible registration problems in time. If the main applicant already has an Iris account then he/she does not need to create a new account to submit the application.

⁸ For the NWO Regulation on Granting, see <http://www.nwo.nl/en/subscription-documents/nwo/legal/nwo-regulation-on-granting-may-2011>

⁹ For the WOTRO Regulations, see <http://www.nwo.nl/en/subscription-documents/wotro/wotro-regulations>

For technical questions regarding Iris please contact the Iris helpdesk (see contact details in section 5.1).

4 Assessment procedure

4.1 Procedure

All received applications are screened for compliance with the formal criteria as described in this Call text. Applicants will receive written confirmation of receipt within two weeks after the deadline of this Call, stating whether or not the application has been accepted into the selection procedure.

The Call for proposals consists of two stages: a Call for preliminary proposals and the current Call for full proposals.

First stage

In the first stage, the consortium sends in a preliminary proposal, including a plan for a workshop, in response to the Call. The preliminary applications were assessed for quality using a fixed set of selection criteria (section 4.2), and were ranked by an independent International Advisory Committee (IAC). Based on the advice of the IAC, the Programme Committee (PC) invited a selected number of consortia to organise the planned workshop to elaborate their preliminary applications into final applications. All applicants were informed on the outcome of the preliminary selection procedure in writing.

Second stage

For final project proposals, invited consortia can apply to the Call for full proposals. Full proposals will be reviewed by international, independent peer reviewers (both researchers and practitioners) using the assessment criteria mentioned in Section 4.2. The applying consortium will be given the opportunity to respond to the comments of the peer-reviewers. Subsequently, the IAC will assess the full proposals based on the peer-review reports and the response by the consortium. The IAC will rank the full proposals and formulate an advice for funding to the Programme Committee. The PC will take a final decision on funding, based on the advice of the IAC. All second-stage applicants will be informed in writing about the outcome of the final selection procedure. Awarded projects should start no later than three months after the award letter is sent.

First stage: preliminary application	
Application forms for preliminary proposals available on the NWO-WOTRO website	12 September 2013
Deadline for the submission of preliminary proposals	13 November 2013
Evaluation and selection of preliminary proposals by the International Advisory Committee (IAC), decision by PC	December 2013
Invitation sent to selected applicants to submit full proposals, application forms for full proposals available on the NWO-WOTRO website	December 2013
Elaboration (workshop) of full proposals by consortia taking into account the comments of a practitioners group beyond the consortium members	January 2014
Second stage: final application	
Deadline for the submission of full proposals	11 March 2014
Peer review procedure, receipt of reviews	March-April 2014
Opportunity for response to peer review reports	Mid April 2014
Evaluation proposals by IAC	May 2014

Decision by PC on awarding/ applicants notified	May 2014
Formal determination of budgets for awarded projects, formal letter of approval	Early June 2014
Start of awarded projects	Within 3 months after formal approval letter

With effect from 1 January 2012 NWO uses a qualification for applications assessed. Information about the qualification can be found on the NWO website: <http://www.nwo.nl/kwalificaties>.

Appeals Procedure

If a consortium objects to a decision taken by the Programme 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 Programme Committee 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 three main criteria: scientific excellence, relevance for development, and quality of collaboration. These three main criteria carry equal weight. Only applications evaluated as *excellent* and *very good* on all three criteria are eligible for funding.

Selection criteria for full proposals

I Scientific quality:

- Potential to generate new, evidence-based knowledge;
- Multidisciplinary character, adequacy, feasibility, and scientific validity (including the robustness of the conceptual framework and the coherence of the research questions and methods);
- Relevant scientific experience and internationally acknowledged research outputs (such as publications) of the research groups involved.

II Relevance for development:

- Quality of the stakeholder analysis and approach for dialogue and knowledge sharing with stakeholders outside the consortium;
- Contribution to research capacity strengthening in partner countries;
- The extent to which the proposal relates to the aim of the Call and has potential for applications of the intended research results (including the quality of impact pathway and indicators).

III Quality of collaboration:

- Synergy, coherence and level of integration of scientific knowledge and practitioner's knowledge;
- Shared ownership by the consortium partners;
- Extent to which the results of the elaboration workshop have been processed in the full proposal.

4.3 Governance

The steering group of the Knowledge Platform for Development Policies is responsible for the overall knowledge management of the Development Policies knowledge agenda. The steering group will share and discuss the knowledge generated by the projects granted by the Calls for proposals with the Platform, thus

encouraging broad application of the knowledge generated and safeguarding coherence in consecutive Calls with evolving knowledge needs as formulated by the Platform.

The Programme Committee (PC), operating under the mandate from the WOTRO board, consists of representatives of the Ministry of Foreign Affairs (1), of the steering group of the Knowledge Platform for Development Policies (1), of NWO-WOTRO (1) and of the international scientific community (1) who can be replaced depending on the Call topic. The PC is chaired by an independent, technical chair.

The PC is the decision making body of all Calls on Development Policies and responsible for:

- Approving of Calls;
- Appointment of the International Advisory Committee;
- Allocating funding to projects, based on the advice of the International Advisory Committee¹⁰;
- Approval of final review reports, based on the advice of the IAC;
- Securing alignment with the Knowledge Platform for Development Policies.

The individual members of the PC are responsible for timely informing and aligning with the bodies they are representing.

The International Advisory Committee (IAC) consists of international acknowledged senior researchers with an interdisciplinary background and international representatives from practitioner organisations (civil society organisations, policy, business). The IAC is responsible for advising the PC on the quality and subsequent funding of applying projects. The IAC is also responsible for assessing the quality of the mid-term and final review reports and advising the PC on approval thereof. The PC may ask the IAC to advise the PC on other matters as well, including for example knowledge sharing activities.

The composition of the PC and IAC will be published on the programme website of Research for Inclusive Development in Sub-Saharan Africa (www.nwo.nl/inclusivedevelopment). However, the identity of the individual peer-review experts consulted for a specific project proposal will neither be disclosed in public, nor to any of the applicants.

NWO-WOTRO is responsible for the day-to-day management of the Call and for all (financial) administration with regard to awarded projects, including organising assessment processes and fulfilling reporting conditions of the Call put by the Ministry of Foreign Affairs. NWO-WOTRO provides for the secretariat of the PC and IAC.

4.4 Conflict of Interest

The NWO code of conduct on conflict of interest¹¹ applies to all persons (including NWO staff) involved in the assessment and/ or decision-making process. This code states that all decisions on funding must be taken without bias and without regard to personal interest. Therefore, any person with an involvement with an application

¹⁰ The PC may deviate from the advice of the IAC in order to achieve a good balance concerning geographical and thematic spread of the selected proposals.

¹¹ See: <http://www.nwo.nl/en/subscription-documents/nwo/legal/nwo-code-of-conduct-on-conflicts-of-interest>

and/ or an applicant (personal, professional or economic) is excluded from taking part in the assessment and decision-making process. All persons involved in assessment and decision-making procedures must sign a declaration of involvement/ non-involvement stating that they will assess the submitted applications without any prejudice.

5 Contact details

5.1 Specific questions

For specific questions regarding the content of this Call for proposals please contact:

NWO-WOTRO Science for Global Development

Website: www.nwo.nl/inclusivedevelopment

Phone +31-70-3440907

- Coordination: Ms Dr Eva Rijkers
e.rijkers@nwo.nl
+31-70-3440653
- General information, forms and administration: Ms Samantha Schmitz
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+31-70-3440907

Postal address:

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

Visiting address:

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

5.2 Technical questions about the electronic application system Iris

For technical questions about the use of Iris please contact the Iris helpdesk. Please read the Iris manual before consulting the helpdesk.

The Iris helpdesk is available from Monday to Friday from 11.00 to 17.00 hours on +31 900 696 4747. Unfortunately not all foreign phone companies allow you to phone to a 0900 number in the Netherlands. You can also send your question by e-mail to iris@nwo.nl.

6 Annexe(s)

6.1 General instructions for applicants

The application form must be completed in English. For some items on the form, a maximum number of words is stated. Do not exceed this number and fill in the word count. Your application may be disqualified if the maximum number of words stated is exceeded.

Applications should be submitted electronically by the main applicant using the Iris system (www.iris.nwo.nl). Using Iris requires registration. In case you do not have an Iris account yet, please register. For the organisation please select " NWO-SA " in " `s-Gravenhage ".

6.2 Specific instructions for applicants

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

Registration

1. Title

The project title must state the African partner country (-ies) where the research will be carried out.

2. Project

Please indicate the following project details:

2a Duration

Specify the duration of the project expressed in months.

2b Partner country

Specify the partner country (-ies) where the research will be carried out. For eligible partner countries see section 2.1.

2c Main field(s) of research

For all applications it is compulsory to fill out one or more research fields that correspond to the subject of your research proposal. You may only refer to the descriptions and codes from the NWO research field list. Please find the list via: <http://www.nwo.nl/researchfields>.

3. Composition of the project team

3a Consortium

Provide the details of the applicants and their employing organisations. For type of organisation indicate whether the participating organisation classifies as a: A= research organisation or B=practitioners organisation. In addition, classify each of the organisations as 1= public; 2= private for profit; 3= private non-profit. Private organisations must be registered with the national Chambers of Commerce.

3b Project staff

Provide a list of the project staff members, i.e. personnel to be engaged for carrying out the project. Provide the name of the staff member; name and type of the organisation employing the staff member. Furthermore, indicate time involvement by specifying the number of months as well as full time equivalents (fte) for which each staff member will be involved. Indicate the

staff member's role in the project (e.g. researcher, supervisor, local coordinator, advisor, etc)

Research proposal

4. Summary of the project proposal

Provide a summary of your proposal, written for the interested layman. The summary should describe briefly, in no more than 150 words, the stakeholders' knowledge demands and the problem addressed, contribution to the two objectives of the Strategic Actors call, practitioner involvement approach and envisaged application in practice. Please specify the number of words used.

5. Project description

This narrative outline of the project should include the following aspects:

5a Background and rationale

Provide an analysis and contextualisation of problem and opportunity addressed. Specify how the project is rooted in local demand and how practitioner involvement will be ensured. Provide an outline of the political context and relevant strategic actors. Indicate the policy area and perspective chosen. Indicate project related baseline data that correspond with the outcome indicators of the impact pathway, as far as available.

5b Objectives

Specify the project's objectives in terms of its contribution to the main aim and specific objectives of the Strategic Actors call (contribution to policy-relevant knowledge /sharing knowledge to facilitate uptake and application), including a rationale of how the project will reach the intermediate and ultimate target groups.

5c Research questions and methods

Specify the research questions and methods to be used. Indicate how the methods and multidisciplinary approach chosen allow for a systematic inquiry involving the practical application of science.

5d Activities

Indicate the activities to be carried out as part of the project, including the capacity strengthening activities.

5e Knowledge sharing

Indicate the approach and activities to share knowledge of the project experiences and results beyond the consortium in broader networks.

The total project description should not exceed a maximum of 2000 words. Please specify the number of words used.

6. Impact pathway

Please complete the impact pathway diagram for the project (max. 1 page). An example of an impact pathway is provided in Section 6.3. For impact specify how the project contributes to the aim of the Strategic Actors Call.

Research outputs and their immediate utilization by consortium members can be reckoned as falling under the direct span of control of the research project.

Research outcomes relate to the up-take of these outputs by external stakeholders and the effects thereof. In order to be able to monitor and assess the effectiveness of the project, verifiable indicators should be presented for the output and outcome levels.

The following table *may* serve as a frame of reference and source of inspiration.

Please note that appropriate outputs and outcomes (and indicators thereof) depend on the specific objectives of the project and the level or scale of intervention of the project.

Examples of research outputs, outcomes and indicators

Narrative description	Indicators
Research outputs	
<ul style="list-style-type: none"> - Knowledge and insights gained and shared on power structures that explain why sound policies aimed at inclusive development fail to be implemented 	<ul style="list-style-type: none"> - Publications, data-sets and models of power structures hindering inclusive development policies - Policy briefs and communication material focusing on overcoming resistance against inclusive development - Workshops/trainings
<ul style="list-style-type: none"> - Knowledge and insights gained and shared on the potential role religious movements can play in inclusive development 	<ul style="list-style-type: none"> - Publications, data-sets, models, on the potential role of religious movements - Policy briefs focusing on including religious movements in inclusive development policies - Workshops/trainings
<ul style="list-style-type: none"> - Knowledge and insights gained and shared on strategies to diversify the economy to offer economic and social opportunities to all citizens 	<ul style="list-style-type: none"> - Publications, data-sets, analyses of conditions on policies to diversify the economy - Policy briefs and programme descriptions on conditions for formulating and implementing effective diversification policies - Workshops/trainings
<ul style="list-style-type: none"> - Knowledge and insights gained and shared on in-country processes of working towards a more inclusive governance system 	<ul style="list-style-type: none"> - Publications and analyses of the process of changing governance system towards becoming more inclusive - Communication material on effective processes aimed at increasing inclusiveness of development policies - Workshops/trainings
<ul style="list-style-type: none"> - Knowledge and insights gained and shared with the Platform on failed attempts to implement inclusive development policies and the factors contributing to the lack of success 	<ul style="list-style-type: none"> - Publications of case studies including analysis of factors contributing to the (lack of) success - Policy briefs, lobby and advocacy materials, and other communication products and services focusing on promoting lessons learned - Workshops/trainings
<ul style="list-style-type: none"> - 	<ul style="list-style-type: none"> -
Research outcomes (external use)	
<ul style="list-style-type: none"> - Uptake of new knowledge and insights by non-traditional actors 	<ul style="list-style-type: none"> - New or adapted strategies and activities of non-traditional actors
<ul style="list-style-type: none"> - Uptake of knowledge and insights by different policymakers in specific sectors 	<ul style="list-style-type: none"> - White papers, proceedings of Parliaments, publication of new laws and rules and regulations by authorities at various levels - Formal changes in policies aimed at development - More political and financial support for policies aimed at inclusion of vulnerable groups
<ul style="list-style-type: none"> - Uptake of knowledge and insights by actors in the wider political society 	<ul style="list-style-type: none"> - Number of new or adapted strategy and policy documents of strategic actors in the wider political society aimed at inclusiveness of development
<ul style="list-style-type: none"> - Increased focus on equality in growth across regions 	<ul style="list-style-type: none"> - Number of new or adapted policies focusing on spatial distribution of growth
<ul style="list-style-type: none"> - Uptake of insights and knowledge by the (local) research community 	<ul style="list-style-type: none"> - Adjusted national/international research agenda - Increased financing possibilities for research on strategic actors in inclusive development - More local researchers involved in research on strategic actors in inclusive development
<ul style="list-style-type: none"> - 	<ul style="list-style-type: none"> -

7. Consortium approach and track record

7a Involvement of consortium members

Describe the role and added value of each of the applicants and their employing consortium partner organisation in terms of experience, skills, know-how and expertise. Indicate how the composition of the consortium will contribute to successful implementation of the proposed project and to achieving the desired impact. If applicable, describe the applicants' past experience with joint research activities. This section should not exceed a maximum of 500 words. Please specify the number of words used.

7b References

Provide a list of a maximum of five key publications of each applicant. You may refer to reports, policy or company briefs, websites, scientific manuscripts etc. Please provide the following details in full: authors, year, title, and make sure referees can track the publication (for example by providing the name of the journal or series in which the publication appeared, web-links, report contact details, etc.).

Funds required

Please consult section 3.3 of the brochure before completing this section.

8. Budget estimates

Calculation should be as follows: $b + c = a$ in which a =total budget; b = budget requested from Strategic Actors and c = co-funding from partners of the consortium.

8a Total budget

Total budget, including items b and c.

8b Funds requested from this Call

See also section 3.3. Requested budget for project costs:

Please present costs budgeted for:

- Personnel costs, including the number of months and fte on a full-time basis;
- Research costs, including travel and accommodation costs for consortium/project staff members (max € 30,000), costs of materials (durables and consumables) and technical support staff (max € 45,000) and bench fees. Please specify costs;
- Costs for knowledge sharing activities aimed at stakeholders beyond the consortium/staff. Please describe/ provide a list of items for which these costs will be used (max € 50,000);
- Mid-term and final review workshop costs (€ 30,000). Please specify costs;
- Capacity strengthening costs. Please provide a list of items for which these costs will be used (max € 35,000).

8c Amount and source of co-funding expected

Sources, type and the approximate amounts of co-funding may be presented here. Please see also section 3.3.

Office space, basic facilities, consumables, depreciation costs, and administrative assistance provided by the host institutions are not reimbursable but must be valorised and listed as (in kind) co-funding to the project.

Personnel costs other than the costs allowed under 8b cannot be covered by the subsidy. These costs can be included as in kind co-funding, up to a maximum of 1250 hours per FTE per year. For such co-funding to be admissible, the person involved should have essential expertise for the

project that is not available within the academic groups involved.

Signatures

The application must be signed by all members of the consortium. Faxed, electronic or scanned signatures will be accepted.

Annexes

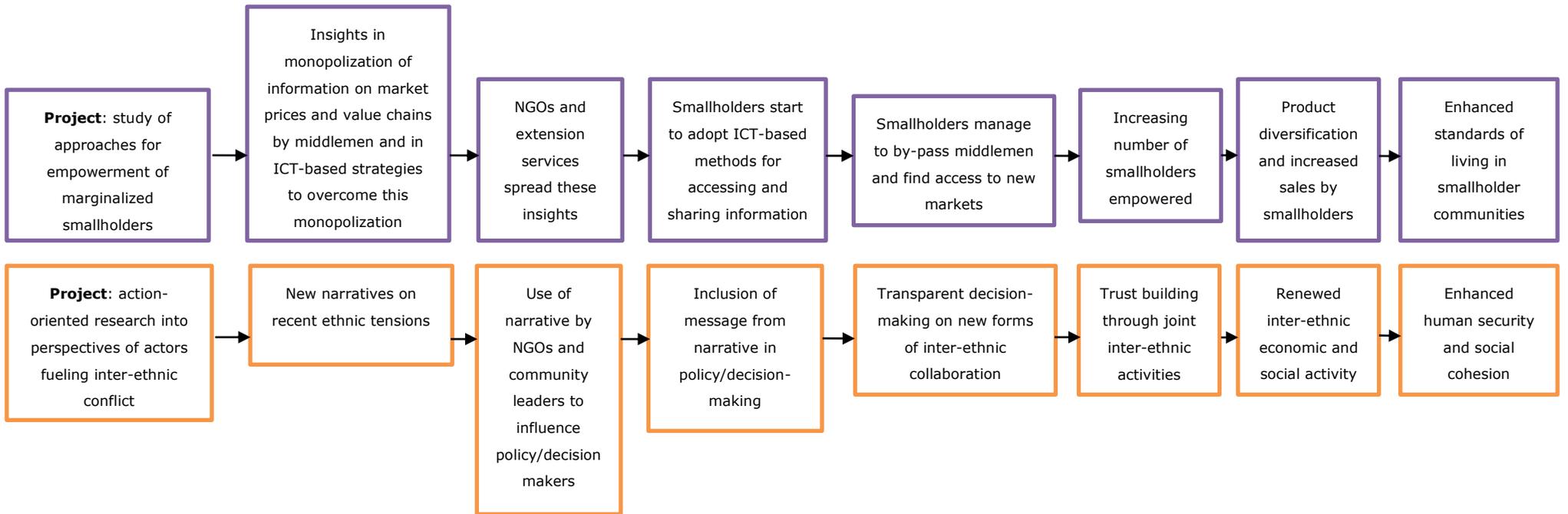
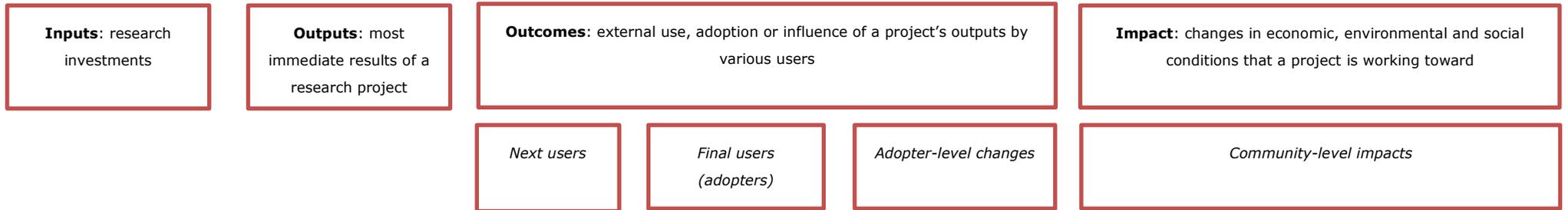
Please attach:

- **CVs** (max. 1 page each) of the applicants;
- **Letters of support** outlining the availability and commitment of consortium member organisations, including any valorised co-funding commitment (signed by head of the organisation/department) (max 2 pages each).

The letters of support should be written in English and addressed to the main applicant. Information on co-funding should be made explicit in terms of pledged financial or capitalised material or personnel contribution. The amounts presented in letters of support should correspond to the amounts put forward in the budget.

After the research proposal has been approved, NWO may ask the organisation for re-confirmation of the co-funding.

6.3 Schematic example of an impact pathway



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