

Ministry of Foreign Affairs of Denmark

*Research collaboration projects in Danida priority countries
("Window 1"), 2017*

Call for Phase 1 applications

Deadline: March 3, 2017, 12:00 hrs. (Danish Time)

Danida Fellowship Centre
December, 2016

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1. Introduction

The Ministry of Foreign Affairs of Denmark (MFA) provides grants for development research activities as part of Denmark's international development cooperation. Two windows have been set up for 2017, providing grants for research with partners in Danida priority countries and for research with partners in growth and transition countries.

Within this framework, the MFA invites phase 1 applications for grants related to development research in the Danida priority countries. These are currently Afghanistan, Bangladesh, Burkina Faso, Ghana, Ethiopia, Kenya, Mali, Myanmar, Niger, Palestine, Somalia, Tanzania, and Uganda.

Phase 1 is the first step of a process in which applicants submit research proposals leading to prequalification. Phase 2 is the submission of a full application by those selected ("prequalified").

Research-based institutions in Denmark, Ghana, and Tanzania are encouraged to apply. The total budget available for this research window is approximately DKK 75 million. The funding is conditional of the Danish Parliament's approval of the 2017 Finance Bill.

The duration of projects is up to 5 years within a maximum grant of DKK 10 million for each project.

All potential applicants are invited to attend information meetings at which the MFA, the Consultative Research Committee for Development Research (FFU), and the Danida Fellowship Centre (DFC) will provide information about the requirements and procedures for the phase 1 and phase 2 applications. The meetings will be held in Copenhagen on the 15th December 2016, in Aarhus on the 19th December 2016, in Dar es Salaam on the 13th January 2017, and in Accra on the 1st February 2017.

The Danida Fellowship Centre (DFC) administers the MFA's support to development research. Questions or queries regarding application procedures should be directed to DFC¹ at research@dfcentre.dk.

The deadline for submission of Phase 1 applications is **March 3, 2017 at 12:00 hrs. (Danish Time)**. Applications must be submitted in English and electronically via DFC e-application system.²

2. Objectives

In accordance with the overall objectives of Danida's support for research, grants will be awarded to strategic research cooperation which generates new knowledge relevant to the needs and strategies of the priority countries and to Denmark's development cooperation as well as contributing to strengthening research capacity in these countries. It is important to note that the Sustainable Development Goals (SDGs) adopted by the United Nations in 2015 constitute an overall thematic framework for development cooperation and research.³ Further information about the research themes is outlined below.

The supported development research projects must include substantive elements of research capacity strengthening, which focus on national priorities and ownership in developing countries.

¹ For the General Conditions regarding on-going projects, calls, e-application forms, etc. see: <http://dfcentre.com/wp-content/uploads/2017/01/General-Conditions-2017.pdf> and <http://dfcentre.com/research/calls-for-applications/>

² See Section 13 for information on how to access and use the e-application system.

³ See: <https://sustainabledevelopment.un.org/sdgs>

3. Main Applicant

Applications can only be submitted by universities or by a research based institution (public and private) in Denmark, Ghana, or Tanzania, which will be responsible for the grant. The project coordinator must be attached to that institution.

At the time of submitting the application, the project coordinator must hold a PhD or equivalent qualification, documented clearly in the CV. Documented evidence that he/she is a Professor, Assistant Professor, or Associate Professor is regarded as equivalent to a PhD.

Experience shows that the project coordinator plays a key role in ensuring that a research collaboration project is successful. An effective engagement/ involvement of the project coordinator will entail a substantial workload, noticeably at the beginning of the project.

It is important that the project coordinator and the research team are able to document relevant scientific merits and qualifications as well as a research background within the topic applied for. A project coordinator may apply for more than one project, but only one project per project coordinator may be approved for this funding window.

4. Other participating researchers, institutions, and private sector partners

The application must list all partner institutions. The applications from Denmark must list partners in Danida priority countries and possible international and private sector partners, while the research project applications from Ghana and Tanzania must list partners in Denmark and elsewhere, if applicable. At least one researcher from each partner institution must be named in the Phase 1 application.

Research collaboration is considered an important means to strengthen research capacity of institutions in priority countries. In order for research partners to benefit from the collaboration, partnerships should be equal, and partners should be able to contribute actively in preparing both Phase 1 and Phase 2 applications. Research applications which have been prepared without the active involvement of partners in priority countries or Denmark will not be approved. Other important aspects of equal partnerships include joint fieldwork, joint publishing, knowledge sharing, access to databases and libraries, etc.

It is strongly encouraged to involve partners from the private sector and national authorities in the partner country or in Denmark in the research project, and grant funding can be used for their direct work input and expenses in relation to the project activities. Such partners are encouraged to contribute with additional resources (funding or in-kind) for the projects. International research institutions and research institutions in countries outside Denmark and outside the partner countries can be included as sub-contractors and can be supported by the grant for their direct services to the project activities.

Support to PhD students is considered an important part of research capacity strengthening. The application should indicate the intentions for involvement of PhD students in the project, as well as involvement of post-doc and other researchers.

PhD candidates from the priority countries included in the project must seek enrolment at a university in their home country, alternatively at a university in the region of the partner country. Enrolment in Denmark can only be considered if enrolment in the partner country or the partner country region is not

possible, and if sufficient justification for this is provided. More details will be provided in the Call for Phase 2 applications for the prequalified applicants.

5. Identifying Danish Research Partners

Applications from Ghana and Tanzania must include relevant Danish research partners. If partners are not already identified from earlier collaborations or professional networks, it is possible to identify relevant Danish researchers by searching the Danish research database <http://www.forskningsdatabasen.dk/> or international databases such as <http://scholar.google.dk/> and <https://www.researchgate.net>. Inspiration can also be found by searching among ongoing and past projects at the Danida Research Portal <http://drp.dfcentre.com/>, and at the Danish Development Research Network website <http://ddrn.dk/intro.html>. An overview of the universities in Denmark is accessed at <http://www.dkuni.dk/english>, with links to each of the eight universities in Denmark, and searching may be done among their researchers, according to subject.

In case it is not possible for applicants from Ghana and Tanzania to identify relevant Danish researchers, further guidance may be requested from the Research Unit at DFC. See DFC's website: <http://dfcentre.com/research/calls-for-applications/research-collaboration-marketplace-7/>. By using the template providing information concerning the application (applicant name, applicant qualification (degree) and position, applicant e-mail address, applicant institution, project title, brief project description/project idea) DFC will post the information at the DFC website under a "Research Collaboration Marketplace" accessible to the Danish research environments. Danish researchers can equally make an expression of interest (EOI) in being contacted for partnerships using a template available at the same link. These EOIs will also be posted at the Marketplace. However, there is no guarantee that direct contact will be established, and it is therefore important that the project coordinator actively engages in identifying Danish researchers relevant for the project and contacts the Danish researchers directly.

6. Research Themes

Introduction – the SDGs

The global 2030 agenda and the seventeen United Nations sustainable development goals (SDGs) constitute an important framework for development cooperation and research. Therefore, it is envisaged that research projects and collaboration on the five themes identified below will be undertaken within the context of the relevant SDGs and that these will be reflected in the justification for the research proposals.

Theme 1 - Growth and technological innovation

Promoting and stimulating innovations are vital components of growth strategies in developing countries across a wide range of sectors, including energy, food and agriculture, water resources and health, etc. The potential impacts of technological innovation in terms of youth employment and environmental quality are also significant. However, while there are many opportunities for growth through innovation in developing countries, there are also many constraints affecting the introduction of new technologies in different sectors. Thus, research into both the upscaling of technological innovation and into impact assessment is envisaged across a broad spectrum where numerous actors are involved, both in public and private institutions. Topics could include:

- Innovation in specific products (e.g. flood resistant rice, windmills, malaria vaccine, etc.);
- Innovation in processes (such as the use of information and communication technologies, introduction of lighter recyclable packaging, etc.);
- Organisational innovation (e.g. new business and value chain models, etc.).

Theme 2 - Gender equality and development

Although progress has been made in many countries with respect to gender equality and women's rights, much remains to be done. The United Nations gender inequality index reflects disparities in achievement, notably in three dimensions: reproductive health, empowerment (including education) and the labour market. Inequalities of access to justice are also significant. Masculinity and patterns of male behaviour are increasingly subject to scrutiny, in addition to the traditional concerns with women's rights. More research is needed to enhance understanding of the opportunities for greater equality as well as the constraints affecting these dimensions in particular countries and regions. Investigations focusing on how gender inequalities affect both women and men could be important for determining policies and measures to overcome barriers and imbalances.

Theme 3 - Humanitarian assistance and development

A large share of international development assistance is allocated to a range of humanitarian organisations dealing with both acute and lengthy crises. Several agencies of the United Nations together with numerous non-governmental organisations play important roles in providing humanitarian aid. Relief and emergency assistance is channelled to deal with internally displaced persons and refugees as well as victims of natural disasters. In this context it is important to understand how humanitarian efforts can best contribute to longer term development in line with recent international commitments. Research could include investigating the ways in which different actors respond to a crisis or disaster, with a view to enhanced conflict resolution, "building back better" (after destructive events), strengthening institutions for long-term service provision, improved preparedness and early warning, etc.

Theme 4 - Resilience to climate change

As climate change leads inexorably to higher temperatures and sea level rise as well as increasingly irregular rainfall patterns, adapting to these "altered conditions" has become a critical issue in many vulnerable regions. Climate change affects food production and access to water resources as well as the patterns and prevalence of diseases. According to the Inter-governmental Panel on Climate Change (IPCC), resilience is the degree to which "a system rebounds, recoups or recovers." Thus, strengthening resilience has become a key to effective adaptation. Research is needed to determine ways in which both rural and urban communities can improve their livelihoods while reducing vulnerability. There is considerable scope for inter-disciplinary investigation of the factors determining resilience. Given the impacts of climate change, greater understanding of strategies to increase resilience will be vital for policy making and for devising measures to advance the overall sustainable development agenda.

Theme 5 - State building

Over the past decade or so there has been a considerable emphasis on the problems of fragile states, but there is still a need for greater understanding of the world's more intractable conflicts. Emigration from some of the affected regions has sharpened the focus of attention on failures in terms of stabilisation. In this context, further research is needed to better understand the drivers of stability, in particular the role of democracy in state building, the establishment of well-functioning and legitimate public institutions, how to strengthen businesses and incentivise investment, etc. Research would entail investigation of the multiple factors contributing to "good governance" and reduced "fragility". Relations between states and citizens, the roles of religion, ethnicity and the family, as well as the drivers of growth such as entrepreneurship and access to financial resources and to services (such as water supply and health care) could be amongst the study topics.

7. Assessment Criteria

The FFU and MFA assess Phase 1 applications on the basis of three equally important criteria as described below: i) scientific quality; ii) relevance; and iii) the potential effect of the research.

The scientific quality of the proposal is evaluated on the basis of the following criteria:

- *the research experience and qualifications of the project coordinator;*
- *the originality and innovative nature of the project, in terms of generating new knowledge;*
- *with respect to state of the art, the contribution to advancing research in the given field according to international standards.*

The relevance of an application is assessed with respect to the extent that the research topic contributes to solving challenges in relation to the sustainable development goals (SDGs), more specifically:

- *the focus of the project is well-defined with respect to the selected theme in the chosen country;*
- *the project responds to national development priorities relevant for Danish development assistance;*
- *opportunities for enhanced private sector development.*

The effect of the research is evaluated on the basis of the following criteria:

- *the potential direct effects with respect to the selected sustainable development goal(s);*
- *the effects of the project in terms of the partnerships with public and private sector which could take the research to the next step;*
- *the international research dimensions of the project add value for both the Danish and the partner institution;*
- *the contribution of the project to strengthened research capacity.*

As stated in the “General Conditions for Grants to Development Research Supported through Denmark’s International Development Cooperation”, <http://dfcentre.com/research>, MFA may make the processing of new applications by the project coordinator conditional on compliance with the terms and conditions of previous grants, including if the total time allocation for a researcher on several projects exceeds what is considered feasible.

8. Project Description

The project description must outline the project idea and be structured according to the indicated headings and in the stated order. All headings must be used and none added. It is important to ensure that the application is clear and focused, and although there are no requirements regarding the length of each section in the project description, the project description as a whole must not exceed 4 pages (10,000 characters, including spacing).

Heading	Content
1. State of the art, rationale, and relevance	Background to project objectives: <ul style="list-style-type: none">• Based on a state of the art literature review and a broader development rationale, explain how the research project will provide new knowledge in the scientific field concerned;

	<ul style="list-style-type: none"> • Highlight how the proposed project relates to prior and on-going research in the specific field about which the applicant is aware; • Present a rationale for the selection of partner country/countries; • If more than one partner country is chosen, the rationale for this and added-value and importance for the project should be clearly argued. <p>Describe the project's importance in relation to:</p> <ul style="list-style-type: none"> • Specific Sustainable development Goal(s); • The development strategies and specific development challenges of the involved country or countries; • Danish priorities in the country in relation to development cooperation;⁴ • Importance to the private sector where appropriate.
2. Objectives and results expected	<p>Objectives and possible research hypotheses must:</p> <ul style="list-style-type: none"> • Be driven on the basis of the state of the art; • Address clearly identified research issues and list the main expected scientific results; • Be novel in providing new knowledge and innovative results; • Include substantive elements of research capacity strengthening
3. Indicative project methodology	<p>Outline the methodology, research design, and approach to research capacity strengthening in general terms.</p> <p>It must be clear that the proposal constitutes a genuine research project rather than being registration of data, commissioned research, a product development, demonstration project, technology transfer, consultancy or development project.</p>

9. Required Format of the Application and Appendices

The e-application system is accessible from DFC's website via the following link: <http://dfcentre.com/research/calls-for-applications/>. The e-application form may contain information which is important in relation to the application albeit not covered in this Call.

The Phase 1 application must comprise the following:

- The e-application form
- Appendix A: CVs of all researchers named in Step 1A of the Application Form
- Appendix B: Signatures

All steps (including Step 1A) in the e-application form must be completed, and the application and appendices must be completed in English. Only the required appendices will be considered. The total volume of the appendices must not exceed 5 MB. The appendices must be named: "*Appendix (letter) - name of project coordinator*".

⁴ Danish country priorities are reflected in the country policies, which are found at <http://um.dk/en/danida-en/goals/country-policies>

Appendix A - CVs: A front page of the appendix must be inserted, listing the CVs of the project coordinator and all other researchers who are named in the application Step 1A, listed in the order in which they appear.

The CVs must specify the scientific qualifications, managerial skills, and experience from developing countries, and must include a list of key publications and patents relevant for the application. The length of the CVs must be no more than 2 pages per person.

The table of contents and all CVs must be compiled in a single PDF file in which each CV starts on a new page.

Appendix B – Signatures: This appendix must include scanned signatures of the project coordinator and the Head of the Responsible Institution/Department as per template.

10. Finances

For the purposes of a Phase 1 application, an estimate of the grant applied for is expected for an amount not exceeding 10 million DKK for a five-year period. Other funding sources and an estimated total project cost should be indicated.

The percentage of the budget to Danish and South-based research institutions must reflect the importance given to the research capacity strengthening of the South-based partners, e.g. by providing around 60% of the budget to South-based research institutions and 40% of the budget to Danish partners.

For international research institutions and partners in countries outside the Danida priority countries, as well as to private sector partners, the budget can only include salaries and travel expenses covering their direct services to the project activities, and no administration fees can be covered.

Eligible Costs

It will be possible to apply for funding for the following budget items:

- Salaries and emoluments;
- Tuition Fees and educational grants to PhD students from the priority countries
- Expenses for trips abroad and fieldwork;
- Project and research materials and equipment;
- Publication, dissemination and communication;
- Administration fees (overhead)⁵;
- Study stays in Denmark of PhD students from partner countries;
- External audit.

⁵Maximum overhead rates must follow the General Conditions for ongoing projects, see: <http://dfcentre.com/wp-content/uploads/2017/01/General-Conditions-2017.pdf>

11. Application Process

Information meetings for new applicants concerning this Call Phase 1, 2017 are held in Copenhagen and Aarhus on the 15th and 19th December 2016 respectively, on the 13th January 2017 in Dar es Salaam, and on the 1st February 2017 in Accra.

Submission of the Phase 1 applications: Submission of a Phase 1 application must be done via DFC's e-application system and must be completed by the deadline specified on the front page of the Call. Shortly after submitting the application, the applicant will receive an e-mail acknowledging receipt. If the acknowledgement is not received within 24 hours, the applicant should send an e-mail to research@dfcentre.dk to ensure that the application has indeed been received before the deadline.

Reviews of the applications: All applications received within deadline will be reviewed by DFC for formal requirements (refer to section 12) and applicants rejected for not fulfilling the formal requirements will be informed.

Applications received from Ghana and Tanzania will be assessed by National Screening Committees in these two countries, respectively. Representatives from the FFU and the MFA will take part in the assessment. Based on the assessment, the MFA will decide which projects should be forwarded for further assessment by the FFU. Applications rejected by the MFA will be informed accordingly. If and when required the MFA will conduct a consultation procedure in accordance with § 19 of the Danish Public Administration Act.

Applications received from Denmark will be reviewed by the MFA (the Danish embassy concerned) in relation to their relevance before being forwarded to the FFU.

Prequalification: The applications are assessed by the FFU in May 2017. The reviews from the embassies and the national screening form part of the overall basis for the assessment. Based on the recommendations of the FFU, the Danish MFA decides which applicants will be invited to submit a final application in the subsequent Phase 2 of the application process.

Responses to Phase 1 applications: Applicants will be informed of the MFA decision in May/June 2017, and the Phase 2 Call 2017 will be announced shortly thereafter at DFC's website. Applicants who are invited to submit a Phase 2 application will receive specific recommendations or requirements regarding its content based on their Phase 1 application. Applications rejected by the MFA will be informed accordingly. If and when required the MFA will conduct a consultation procedure in accordance with § 19 of the Danish Public Administration Act.

Submission of Phase 2 applications: The deadline for submission of final applications will be September 8, 2017.

Peer review: All Phase 2 applications will be submitted for external peer review to - as far as possible - at least two internationally recognised researchers. DFC appoints the external reviewers, and applicants will have the opportunity to comment on these external opinions in a consultation procedure.

Consultation procedure: The consultation procedure concerning the external peer reviews is expected to take place in September-October 2017.

Final Selection: The Phase 2 applications are assessed by the FFU in early December 2017, on the basis of the application, the external assessments, and any hearing responses-. In the final prioritization by MFA, only a limited number of the Phase 2 applications will be recommended for approval.

Innovation Fund Denmark has endorsed this call text and will also endorse the final grant selection.

Responses to Phase 2 applications: Notice on the outcome of the prioritization of the Phase 2 applications will be sent to the applicants in December 2017. The approved projects can expect to start in early 2018 after receiving and endorsing a final Letter of Commitment.

12. Obligations

Applicants should familiarize themselves with the following before using the e-application system and submitting an application.

The responsibility of the applying institution

The applying institution is responsible for ensuring that all information in the e-application is correct, that the required appendices are uploaded with the e-application, that the contents of the appendices are correct and that the e-application has been submitted before the Call deadline.

In the event of any subsequent material changes affecting the information submitted, the applying institution must immediately notify the Research Unit at DFC at research@dfcentre.dk.

The application must reflect ethical considerations and adhere to requirements in Denmark and in the relevant partner countries regarding research permissions, provision of information to relevant authorities, etc.

Storage of information

When the e-application system is used, the system will automatically register the applicant's identity, IP address, and the time at which the application was created or edited will be registered.

Technical disclaimer

The Danida Fellowship Centre is obliged to inform prospectively applicants of any system errors that make the e-application system unavailable, affecting the applicant's possibility of submitting e-applications within any deadlines. Information regarding such unavailability, and other unforeseen events, will be posted on the DFC website <http://dfcentre.com/research/>.

The Danida Fellowship Centre accepts no liability for incorrect information due to software errors, calculation errors, transmission errors and similar errors, or for any claims for damages due to incorrect use of the e-application system.

Data Protection Act

Danish privacy law (Danish Act on Processing of Personal Data, *Lov om persondata*, no. 429 of 31 May 2000 with subsequent amendments) accords the applicant certain rights when information concerning the researchers involved in the application is processed electronically. Please note that at his or her request, they have the right to inspect and verify personal data if such data are processed electronically.

It is not possible to make corrections to an e-application after it has been submitted, except for corrections related to the personal information.

Rejection of applications without substantive consideration

According to Section 4 of the Executive order on the granting function etc. under the Danish Council for Independent Research and the Danish Council for Strategic Research (Executive Order no 322 of 30

March 2014), an application may be rejected without substantive consideration if the formal requirements or deadlines, as set out in this Call for applications are not met.

Other data which may be obtained by official bodies

The MFA and the FFU reserve the right to obtain information about any previous and current applications an applicant may have submitted to the FFU, and this information may be included in processing of the e-application.

In the event that project funding has been or will be applied for from elsewhere, the MFA and FFU reserve the right to obtain information as to whether the amount has been granted.

Use of funding for other purposes

The MFA may, at its discretion, decide that a proportion of the funding available is to be used for other research cooperation.

Announcement

Once the submitted Phase 1 applications have been processed, an announcement will be made at the DFC website, <http://dfcentre.com/research/> as to who have been invited to submit a Phase 2 application. In support of that announcement, the following information may be published on the internet: applicant' name, title, workplace, title of application and expected application amount. The purpose of this is to enable applicants to apprise themselves of other prospective programme applicants and research activities and possibly form their own networks with a view to submitting joint applications.

Information about applicants who are not invited to submit a Phase 2 application may be disclosed in the event that access is applied for according to the Danish Public Records Act (Offentlighedsloven). Access to such information may be granted in the form of lists of who has applied and for what purpose (applicant names and application titles). Applicants should, therefore, take care that their application title does not reveal information about the activity which they wish to keep out of the public domain.

13. E-application Information

The Call and e-application system is accessible from DFC's website via the following link: <http://dfcentre.com/research/calls-for-applications/>.

- Before the electronic application system is accessible, you will need to register yourself with your e-mail address and password – log on the link “If you have not previously used Danida Fellowship Centre’s electronic application system click here”. If you have several e-mail addresses, please note that acknowledgement of receipt of the application will be sent to the e-mail address used as your user name in the system.
- To create an application, select the application form “W1 Research in Danida priority countries phase 1.
- Once you have created an application form, you can save and break off from it and resume work at any time by accessing the “Edit” box at the log-in page to the right.
- If you have forgotten your password, please type any password in the box, and by doing this, an e-mail with your correct password will be sent to your e-mail address.
- Your partners can access the application by using the same e-mail address and password.

Contact

For questions concerning the application procedures and in general relating to this Call for applications, please contact the Research Unit at Danida Fellowship Centre at research@dfcentre.dk.