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# **Introduction Meeting**

Window 2 research collaboration projects  
Part I General Conditions

Danida Fellowship Centre

10 April 2018

# Agenda



<b>Part I – General conditions for project coordinators and admin/accounts staff</b>		
<b>Time</b>	<b>Topic</b>	<b>Responsible</b>
09:30-09:40	Welcome Part I and brief introductions	Pernille Friis/All
09:40-10:10	General conditions and good practices	Pernille Friis
10:10-10:25	Audits and accounts	Anne Christensen
10:25-10:35	Stays of researchers in Denmark	Eva Thaulow
10:35-10:45	Research communication and good stories	Vibeke Quaade
<b>Break</b>		
<b>Part II – Research and SSC projects for project coordinators</b>		
11:00-11:10	Welcome Part II	Mike Speirs
11:10-11:40	Presentation of projects and discussion research vs SSC projects	All
11:40-11:55	Scholarships and knowledge sharing research to policy	Maya Lindberg Brink
11:55-12:00	Closure	Mike Speirs/Pernille Friis

# W2 projects granted in 2017



Project No	Project Coordinator	Responsible Institution	Project Title	Start date	End date	Country
17-M01-DTU	Alfredo Peña	Technical University of Denmark	Multi-scale and model-chain Evaluation of Wind Atlases	01-04-2018	31-03-2021	Mexico
17-M02-DIG	Jens Modvig	DIGNITY - Danish Institute Against Torture	Mental health in post-conflict Colombia - ways ahead	01-01-2018	31-12-2020	Colombia
17-M03-DTU	Torkel Gissel Nielsen	Technical University of Denmark	Research-based management of Gulf of Guinea	01-01-2018	31-12-2020	Ghana
17-M04-DTU	Ivan Nygaard	Technical University of Denmark	Tendering sustainable transitions (TENTRANS)	01-04-2018	30-09-2020	South Africa
17-M05-DTU	Maj Munch Andersen	Technical University of Denmark	Green & circular innovation for Kenyan companies - GECKO	01-04-2018	31-03-2020	Kenya
17-M06-KU	Anders Dalsgaard	University of Copenhagen	Health and Antibiotics in Vietnamese Pig Production - VIDAPIG	01-02-2018	31-01-2020	Vietnam
17-M07-KU	Niels Fold	University of Copenhagen	Socio-economic benefits of ecological infrastructure	01-07-2018	30-06-2020	South Africa
17-M08-GEU	Simon Stisen	Geological Survey of Denmark and Greenland (GEUS)	Managed Aquifer Recharge in the North China Plains	01-04-2018	31-03-2021	China
17-M09-KU	Tine Gammeltoft	University of Copenhagen	Living Together with Chronic Disease: Informal Support for Diabetes Management in Vietnam	01-11-2018	31-10-2021	Vietnam
17-M10-KU	Karsten Høgh Jensen	University of Copenhagen	Improving Sustainable Groundwater Use in South Africa	01-04-2018	30-09-2020	South Africa
17-M11-DTU	Peter Vilhelm Skov	Technical University of Denmark	Sustainable value-chains: Aquaponics in Colombia	01-03-2018	30-11-2019	Colombia

# Good practice

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Act in accordance with **principles of good admin practice:**

***Transparency***

timely, reliable, and relevant information/documentation

***Accountability***

be able to account for decisions and actions taken

***Effectiveness***

administration facilitates project implementation in the best possible way

***Efficiency***

project funds are used appropriately to achieve project outputs

**And** - act according to the **General Conditions** and follow the relevant rules and regulations of the institution in question

# Conditions available at the DFC Website



Danida Fellowship Centre

- sustaining development through research and learning

Courses & studies

Research

Commercial services

Fellows

News

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## Research

**Calls for Applications – Calls closed**

Questions and Answers

Phase 2, 2017 – CLOSED

**General Conditions and Forms**

**Project General Information**

**The Consultative Research Committee**

**Building Stronger Universities/BSU**

Ongoing Activities

Project Contact Details

## General Conditions and Forms

The General Conditions for grants to development research support set down detailed conditions for the administration of grants to development research.

General Conditions have to be downloaded [here](#).

Link to electronic reports forms and list of appendices:

**Appendix 1:** Online First-Year Report Form. Appendices to be uploaded as attached files to the online report: (**Appendix 1a:** LogFrame Matrix, **Appendix 1b:** Signature Page)

**Appendix 2:** Online Midterm Report Form. Appendices to be uploaded as attached files to the online report: (**Appendix 2a:** LogFrame Matrix, **Appendix 2b:** Signature Page, **Appendix 2c:** Publication and Dissemination List for Midterm Reporting)

**Appendix 3:** Online Completion Report Form. Appendices to be uploaded as attached files to the online report: (**Appendix 3a:** LogFrame Matrix, **Appendix 3b:** Instruction for Policy Brief, **Appendix 3c:** Publication and Dissemination List, **Appendix 3d:** Signed document of hand-over of equipment, if applicable, **Appendix 3e:** Signature Page)

# Content of the General Conditions

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**Window 2 is a new modality** – added to the existing General Conditions

- A set of **requirements and procedures** to be followed by projects (budgeting, reporting, presentation of accounts, auditing, etc.)
- **Non-compliance can lead to close down** of project and return of funds
- The conditions are **updated yearly**

**Appendices** - format for disbursement request, link to reporting formats (e-fond), audit instructions, format for partnership agreement, etc.

# Role of Project Coordinator

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The grant is awarded to the Responsible Institution and not to the Project Coordinator!

On behalf of the Responsible institution the **Project Coordinator must ensure** that the project is implemented as approved

...and ensure

*An equal partnership*

*Coordination amongst partners*

*Proper financial mgt. by all*

*Rules and regulations are respected*

*Ethical approvals and permits in place*

*Comply with MFA's anti-corruption policy*

Etc.



# Partnership Agreement

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The Partnership Agreement must be entered within the **first half year** - the second disbursement to the project is conditional on submission to DFC

- How the project will be organised
- Distribution of responsibilities
- How to resolve disagreements
- How the project will be implemented and concluded
- Etc.

**Appendix 9** provides a template



# The Grant

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## The Grant

- Must be used in the project period only
- Must be used for approved objectives and budget items

**But reallocations can be made** - Follow the **10% rule!**

Calculation of reallocations must be based on the **total budget for the budget line in question including all partners** over the full project period (as in Letter of Grant)

In the final accounts **none of the budget lines must exceed 10% deviation** (up or down) from the original budget without written approval from DFC



# Overhead

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## Overhead/Administration Fee

- Up to 44% for Danish research institutions (20% for GTS institutions).
- Up to 20% for research partners in growth countries
- No overhead for international/third country partner institutions

Overhead must be used to **cover administration, coordination, running costs, etc.** It is not required to account for the use of overhead

Note that **in the budget**, the overhead is calculated of the **total budget**, while **in the accounts** the overhead is allocated according to the **actual spending**



# Period of the Grant

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The period of the grant as given in the Letter of Grant

In case of delays – a **no cost extension of up to one year** may be approved by DFC:

- *If* submitted one month prior to closing date
- *If* used to complete approved objectives and outputs
- *If* well justified

## **Conditions for no cost extensions**

- Can only be given once
- Extra midterm report may be required
- Extra audit may be required



# Disbursement requests

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- First disbursement after endorsement of Letter of Grant
- Use Disbursement Request Form, **Appendix 2**
- The Disbursement Request must be submitted **by end of the fiscal year**
- Must be signed by Project Coordinator
- The Responsible Institution **transfer to partners**
- The request must cover the **whole fiscal year** and exclude expenses on the stay of researchers in Denmark administered by DFC
- The yearly disbursement will be in **two installments** and the second disbursement is **conditional upon approval** of the annual report and accounts

# Non-compliance – can lead to discontinuation

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Among others:

- Non-fulfillment of the terms and conditions
- Lack of progress towards the planned goals for a period of time exceeding one year
- Lack of or unsatisfactory submission of reports and accounts
- Significant non-approved changes in the project
- Other irresponsible administration of grant funding

**Audits and other spot-checks** can be initiated in case of suspicion of mismanagement



# Terms and conditions of employment

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The responsibility for employment conditions rests with the institution at which the individual staff is employed

## Replacements

- The Responsible Institution must find a suitable replacement if the **Project Coordinator**'s employment comes to an end
- **Approval must be attained from DFC.** The request must be submitted to DFC and include the CV of the new coordinator
- **Replacement of other project researchers** must be informed in the next reporting to DFC with CV of the new researcher(s)

Equally, **change of Responsible Institution and partner institutions** requires approval from DFC. The request must be accompanied by a signed agreement between the involved institutions



# Terms and conditions for salary

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- Salaries for staff must **follow tariffs of the institution** in question
- Top-up on salaries, double salaries, or payment of consultancy fees is not accepted
- Salaries are either **compensation/ replacement salary** or compensation **payment for over-time, either hourly or performance based**
- In the case of over-time payment, a **written agreement** must be entered between the institution and the researcher
- Payment of salary or remuneration must be declared to the tax authorities
- **Duty travel settlement** must follow institution's regulations but not exceed Danish rates
- The participating institutions are responsible for **insurance of project personnel**

# Purchases

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All purchases must be made in accordance with **international and/or national procurement regulations**

- Project expenses must not include VAT in case it is possible to receive VAT refund
- All purchased equipment must be appropriately **insured**
- By project end equipment must be sold off or handed over to partners in growth country with a **signed hand-over document, Appendix 3d**



# Reporting

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Reports must be **mutually agreed among all project partners**  
The deadline is **1 July** for the first-year and midterm report

The deadline for submission of the completion report is **six months after the approved completion date**

- The completion report must be submitted either together with the midterm report for projects of 1.5 year's duration or **six months after the approved completion date for projects of 2-3 years' duration**

Use **appendix 1, 2 and 3** - links to electronic online (e-fond) reporting plus appendices

There may be special requirements attached to the response to reports – submit a revised/extra first-year or midterm report within a DFC defined deadline

# Quality assurance

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- Reports are **assessment by DFC** for formal requirements, management, and partnership
- DFC also assesses whether the reporting incl. LogFrame is **sufficiently detailed** to assess the quality of the progress towards the approved objectives, outcomes and outputs
- DFC may ask Project Coordinators for additional information or details
- The progress and results conveyed in all three types of reports will be further **assessed by the Consultative Research Committee for Development Research**
- All project coordinators will receive a response to the reports within 3 months after submission

# Rights

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- The Ministry of Foreign Affairs retains the **right to use reports and forwarded research results** free of charge
- Should the grant recipient's utilization of **patent rights, sale of know-how and their own production generate income**, the Ministry of Foreign Affairs will not demand repayment of the grant
- The **Danish Act on Processing of Personal Data** applies

# Accounts and audit

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*By Anne Christensen*

- The **Danish responsible institution has the overall responsibility** for ensuring that adequate accounts are kept and financial procedures are in place - also at partner institutions
- Accounting records and materials must be kept for **5 years** after project completion
- In the event of **misuse of funds**, any loss must be borne by the Danish Responsible Institution



# Annual accounts

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- The fiscal year is **January 1 – December 31**
- The accounts (including partners' accounts) must be submitted by e-mail to DFC at [research@dfcentre.dk](mailto:research@dfcentre.dk)
- The deadline for submission of the annual accounts is **July 1**
- Accounts form **Appendix 5** must be used
- The maximum amount to be used for audits is DKK 30,000 per year and 50,000 DKK for the final audit. The funds for audit are **earmarked**. Additional expenses will not be accepted, but must be borne by the institution's overhead. The audit is not subject to OH



# Annual audit

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## Where the responsibility rests with the National Audit Office of Denmark

- Audit of annual accounts for the Danish Responsible Institution is ***not*** required
- A **Management Endorsement, Appendix 6**, must be submitted with the accounts, confirmation the receipt of the partner institutions' audited accounts, and that the auditor's endorsement is without qualifications
- **Partner institutions' annual accounts must be audited** by an external auditor as per audit instructions **Appendix 7**

## Other Danish institutions

- **The annual accounts must be audited** as per audit instructions **Appendix 7**



# Final accounts

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- The accounts must be submitted by e-mail to DFC [research@dfcentre.dk](mailto:research@dfcentre.dk)
- the deadline for submission of the final audited set of project accounts is **six months** after the approved completion date
- Any deviations on individual budget lines **exceeding 10%** between the total approved budget and the final accounts must be explained, and the **approval by DFC must be quoted**
- Any **interest** earned must be declared separately in the final accounts and returned to DFC

# Final audit

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## Where the audit responsibility rests with the National Audit Office of Denmark

For the Responsible Institution for which the actual audit is **directly carried out by personnel of the National Audit Office**, a **Management Endorsement, Appendix 6**, must be submitted with the accounts.

- For the Responsible Institution for which the actual audit is carried out by an **external auditor designated to do so** by the National Audit Office the full set of final accounts **must be audited** by an external auditor as per audit instruction **Appendix 7**
- **Partner institutions' final accounts must be audited** as per audit instructions **Appendix 7**

## Other Danish institutions

- The final accounts **must be audited** as per audit instructions **Appendix 7**



# Administration of researchers' stay in Denmark

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*By Eva Thaulow Nielsen*

- DFC's administrative services for stays in DK of senior researchers and postdocs are **optional**
- Guidelines for Danida Fellowships apply, **Appendix 8**
- The Project Coordinator is requested to **coordinate** the practical arrangements **with DFC**
- **DFC will annually deduct the expenses** (budget line 8) directly from the grant, informing the project by the end of the year.



# What can we do for you?

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- Assistance with application for Schengen visa
- Insurance
- Flight reservations
- Accommodation
- Bank account and payment of monthly allowances
- Counselling on personal and family matters
- Social activities ([www.fellowship-post.com](http://www.fellowship-post.com))



# What do we need from you?

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- **3 months notice** (please contact DFC for coordination of dates of stay)
- Copy of the **letter of invitation** (you will find a draft letter at our web site: [www.dfcentre.com](http://www.dfcentre.com)).
- Copy of the **passport** (page with names and date of birth)
- **E-mail address of senior researcher** and address of the university of the researcher



# What are the costs?

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- **Accommodation** at the DFC hostel – DKK 300 per night.  
Discount for periods of more than 30 days: DKK 225 per night
- **Allowances** – DKK 1,650 per week
- **Air ticket** – budget figure of DKK 9,000 per trip, the actual expenses will be invoiced
- **DFC's administration** – In addition to the above budget figures, DFC charges an administration fee of DKK 6,000 (incl. VAT) per arrival

The expenses incurred by DFC are not subject to the 44 % overhead.