



WOTRO Science for Global Development

Call for proposals

Social Protection

Research for Inclusive Development in Sub-Sahara Africa



Ministry of Foreign Affairs of the
Netherlands

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1 Introduction

1.1 Background

Inclusive development in Africa cannot be achieved solely by economic transformation and promoting productive employment, but also requires social protection interventions aimed to ensure that the most vulnerable and poorest groups benefit from increasing growth. A growing body of evidence shows that social protection interventions can in themselves contribute to growth. Yet, there is a need for evidence-based arguments to convince policy-makers that investing scarce resources in social protection programmes is a cost-effective instrument in the long run through its impact on poverty and social mobility.

The aim of this Call for proposals therefore is to enhance insight in the cost-effectiveness of social protection interventions in achieving inclusive growth in targeted Low and Middle Income Countries (LMICs)¹ compared to other social policy that aims to achieve the same objective.

Following Conway et al (2000) social protection is defined as “public actions taken in response to levels of vulnerability, risks and deprivation which are deemed socially unacceptable within a given polity or society”. The International Labour Organization (ILO) divides these public actions into three categories: a) Social insurance, which includes contributory schemes to protect workers; b) Labour market regulation, such as minimum standards and protection of worker rights; and c) Social assistance, which comprise tax-financed instruments to address poverty and vulnerability.²

Social protection programs can have many different functions. Depending on the specific intervention, it can be protective, preventive, promotive and/or transformative. This grouping into functions was initially framed by Devereux and Sabates-Wheeler of the Institute of Development Studies (IDS). A more recent framework from the World Bank considers the objectives and functions of social protection in terms of equity (protecting against destitution), resilience (insuring against impacts of different risks) and opportunity (promoting human capital and access to productive work), whereby ‘opportunity’ reflects the promotive and transformative functions. A single social protection intervention can cover one or more of these functions.

Social protection interventions can contribute to inclusive growth, here defined as a pattern and pace of growth in which the poor and most vulnerable groups participate and which is characterised by income growth, increase of productive employment and decreasing inequality. The links between social protection and inclusive growth are indirect and occur through various transmission channels. Social protection affects the proximate, intermediate and ultimate factors determining economic growth. In the short term, social protection interventions alleviate (income) poverty, in the longer term they are a powerful instrument for social mobility. How social protection impacts on intermediate inclusive growth objectives is the key question in analysing the links between social protection and inclusive growth. These intermediate objectives include the accumulation of human capital,

¹ Targeted LMICs: Benin, Ethiopia, Ghana, Kenya, Mozambique, Rwanda, Uganda.

² In: Social Protection in Sub-Saharan Africa: Getting the politics right. Niño-Zarazúa, M., Barrientos, A., Hickey, S. & Hulme, D. (2011, World Development, 40; 163-176)

investment in, protection and accumulation of productive assets, labour participation, building collective citizenship rights³, the generation of local multipliers and spill over effects and reduced inequality. These intermediate growth objectives can be seen as the transmission channels linking social protection to inclusive growth.

The transmission channels linking social protection to inclusive growth work at three levels: i) household, ii) communities and iii) national level. Social protection enables households to manage risks. Households invest in human capital and productive assets. At the community level, social protection interventions have the potential to create local multiplier effects and may contribute to asset development (e.g. through public work programs). At the national level, social protection interventions can stimulate aggregate demand, contribute to social cohesion and enable growth enhancing policy reforms. As such, social protection serves as an instrument for social mobility, fostering and sustaining economic performance at the micro- (household) and meso- (community, region) and national level, thereby promoting inclusive development.

There is a growing interest in the productive aspects of safety nets in Africa, with an increasing number of studies showing promising results (see World Bank, *The New Role of Safety Nets*, 2014). Although there is a growing body of research evaluating the impact of social protection, this type of research mostly considers short term impact and seldom includes the value for money question. There is a major gap in addressing the basic investment case question “are the costs of social protection interventions justified by the value of their impacts”?

The fact that impacts of social protection interventions are both short-term (direct) and long-term (indirect), while cutting across various sectors and dimensions, makes it difficult to relate costs to outcomes and answering such question requires an approach that models intermediate impact. *Comparing* the costs and benefits of social protection interventions with other social sector policies goes a step further. This comparison can provide enhanced insights in where and when social protection packages are complementary to or a substitution for alternative policies to achieve the same objective of inclusive growth.

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 organisations⁴. To support this process, the Dutch government has installed and

³ Operationalized as legal rights, collective institutions protecting/advocating rights, with changing outcomes in terms of individual autonomy, quality of life and well-being.

⁴ Practitioner organisations may include any type of organisation other than knowledge institutions that represents 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

supports five Knowledge Platforms with international membership. One of these platforms, the Knowledge Platform on Development Policies, has formulated the Research Agenda for Inclusive Development in Sub-Saharan Africa.

Knowledge gap

The Platform has identified a major gap in evidence-based knowledge on the cost-effectiveness of social protection interventions compared to other social policy interventions. Therefore the Platform has formulated the scope of this Call for strategic research proposals that focus on social protection through social assistance interventions aimed at poor and vulnerable groups in the targeted LMICs and may encompass a variety of social protection programmes: child and family transfers, social pensions, conditional cash transfers, insurance and employment guarantee programmes. The Platform will closely engage with the research projects that will be awarded under this Call and cooperate with the awarded researchers in order to enhance dialogue to ensure that the knowledge generated will be shared widely.

Strategy oriented research

This Call for proposals focuses on strategy-oriented research geared at developing new insights in policy options and priorities. Strategy-oriented research projects should provide evidence-based policy advice for social protection interventions to policy makers and practitioners in Sub-Saharan Africa. It addresses the question: are we doing the right things?

What is meant by strategy-oriented research?

Strategy oriented research is research designed to develop and help decide on a strategy to reach specified policy goals. It addresses the academic basis and underlying assumptions of policy theories and intervention logic. Here, strategy oriented research is meant to lead to informed advice and policy prescriptions for policy makers and practitioners.

1.2 Available budget

For this Call, a maximum budget of € 2,100,000 is available. The maximum budget for a research project is € 300,000 for a project duration of 24 months.

The grant should be seen as a contribution to the total costs associated with the proposed activities of the project. Thus, for each research project it is expected that the consortium member organisations contribute (cash or in kind) to the project as well.

1.3 Validity of the Call for proposals

Applications for proposals can be submitted until **1 October 2014, 12:00 noon CET**. However, applications must be preceded by a Letter of Intent explaining the outlines of the

enterprises and related support organisations and private non-profit organisations such as NGOs, cooperatives, social movements, unions, civil society organisations, et cetera).

planned project proposal. This Letter of Intent must be received by WOTRO ultimately one month before the deadline of the Call, being **1 September 2014, 12:00 noon CET**. Proposals that are not preceded by a Letter of Intent are excluded for competition.

In case adjustments to the Call are deemed necessary, WOTRO reserves the right to publish these on the website of the Inclusive Development research programme (RIDSSA): www.nwo.nl/inclusivedevelopment.

2 Aim

2.1 Aim and Objectives

The aim of this Call for proposals is to enhance insight in the cost-effectiveness of social protection interventions in achieving inclusive growth in specified LMICs⁵, compared to other social policies that aim to achieve the same objective.

Specific objectives of this Call are:

- To contribute to new evidence-based knowledge on where⁶, how and under which conditions social protection programmes are more effective in achieving intermediate growth objectives compared to alternative social policies;
- To contribute to insights among policy-makers in Africa and in the Netherlands on how inclusive growth objectives can be integrated in the design, implementation and evaluation of social protection interventions: projects must lead to informed advice and policy prescriptions for practitioners, especially policy-makers.

The general aim and the specific objectives of the Call translate into specific research focus/foci and in a delineation of target groups. These are listed below.

2.2 Research focus

The Call is open for research projects that focus on the cost-effectiveness of social protection programmes measured by their indirect and intermediate impact on inclusive growth.⁷

Comparing cost-effectiveness

Research proposed must provide insights into the cost-effectiveness of (different) social policy instruments given a certain inclusive growth objective.⁸ The policy alternatives to be investigated by research consortia applying for this Call are:

- a) no social protection programmes at all;
- b) 'pure' social protection programmes;
- c) social protection programmes that are complementary to other social policies, which may include other social protection programmes;
- d) social protection programmes as a substitute for alternative social policies, which may include other social protection programmes.

⁵ Targeted LMICs: Benin, Ethiopia, Ghana, Kenya, Mozambique, Rwanda, Uganda.

⁶ Where refers to a geographical characteristic: a country, rural-urban, a lagging region. Consortia should explain in their Letter of Intent the geographical focus they select.

⁷ Here we follow the definition of cost-effectiveness advanced in the GRPP sourcebook OECD/DAC: <http://siteresources.worldbank.org/EXTGLOREGPARGPROG/Resources/sourcebook.pdf>

⁸ In case available data is not sufficient to address cost-effectiveness, alternative costing methods may be used, including measures of cost-benefits or efficiency. The proposal should include information on the type of costing method included.

Where there are no social protection programmes it is important to better understand the costs related to the failure to provide a minimum standard of living or protection. Where there are social protection programmes the research should aim at studying the cost-effectiveness of the programmes in reaching intermediate inclusive growth effects, preferably in comparison to other social protection programmes or alternative social policies. In case of equal quality of proposals, preference will be given to proposals that analyse comparisons under (c) and (d).

The research must focus on transfers in cash and in kind. There are six categories of social protection instruments: cash transfer, in-kind transfer (e.g. food package, school meals), vouchers (e.g. for a school fee, health care use, food), fee waivers (e.g. no school tuition, free health care), subsidies (e.g. for fuel, food, transport, etc.), public work. The social policy alternatives to be considered as complements to or substitutes for social protection interventions include targeted education, health, labour market policies and other social protection programmes.

In selecting the alternative social policy to be compared with social protection, the key guiding question should always be how this policy contributes to concrete inclusive growth objectives: reduced inequality, the accumulation of human capital, investment in, protection of and accumulation of productive assets, labour participation and the generation of local multipliers, collective citizen rights and spill-over effects. The research question is: which policy is more effective, or how can both policies complement each other resulting in an outcome that is more than the sum of the two policies. An example: old age grants that allow household members to incur travel costs to participate in labour markets compared with targeted labour market policies that directly benefit working household members. For methodological reasons, comparing social protection programmes with non-social policy/programmes (like infrastructure, agricultural investments etc.) is excluded from this Call.

Focus on country case studies

Country-case studies have the advantage of being highly context-specific. They can be tailored to ongoing national policy debates which guide the selection of social protection programmes and/or alternative policies given a certain objective. A set of country case studies may, at the end of all projects, provide the possibility of identifying a number of overarching factors that determine the cost-effectiveness of different social protection programmes.

The paragraphs below elaborate boundaries to the research on four dimensions.

Boundaries

a) medium term cost-effectiveness

Research projects must focus on medium term impact. This means a focus on transmission channels that link social protection to inclusive growth objectives : a reduction of inequality, labour participation, productive assets protection and accumulation, human capital development, strengthening of social and collective citizenship rights, institutions and (local) economic multiplier effects. A research focus on the immediate effects of social protection only is excluded, although such information may be used to model/predict intermediate impact.

b) household and community level

Research must focus on transmission channels or pathways at household and/or community level. At household level, research should consider if and how social protection policies enable households to invest in their future (human capital and productive assets) and if and how social protection programmes assist households in managing risks, for example through prevention and mitigation of risk. It is also essential to consider the distributional impacts of the policy intervention at a household level. At the community level, the research studies

the potential of social protection programmes to create local multiplier effects, their contribution to asset development and to build collective citizenship rights.

c) *regular social protection programmes*

Research must focus on social protection programmes which are financed from general government revenues (with or without official development assistance) or non-state actors and on programmes that are regular and (have the potential to be) implemented at a national scale (i.e. one-off interventions, emergency support and/or small-scale pilot projects are excluded here). This may include programmes implemented by non-state actors that have the potential to be integrated into national programmes or strategies.⁹ Programmes can be universal or targeted and encompass different kinds (e.g. cash transfers, public works, insurance).

The research should focus on the analysis of non-contributory social protection programmes. Although most Sub-Sahara African countries have formal contributory social protection schemes, these programmes cover only a small fraction of the population. They are targeted at civil servants and other formal sector workers, population groups that generally do not belong to the poorest. Here, social protection interventions that are supporting the poor and vulnerable should be at the core of the research (social assistance programmes).

Although research must focus primarily on formal social protection programmes, as opposed to informal community-based mechanisms that are often based on mutual support, such as burial or saving societies. However, research proposals may include informal support mechanisms where these constitute a significant alternative for or complement formal social protection.¹⁰

d) *geographical focus*

Projects should concern research questions that address social protection interventions in (at least) one of the following countries: Benin, Ethiopia, Ghana, Kenya, Mozambique, Rwanda, Uganda. Country comparative studies are possible but their feasibility in terms of data availability and comparability will need to be documented in the proposal.

2.3 Methodology

Research proposals must include a combination of quantitative and qualitative analysis and may include a systematic review of relevant literature. Thus, the research should go beyond short term impact evaluations.

⁹ See Features, Governance Characteristics and Policy Implications of non-State social Protection in Africa, PASGR Research Framework Paper, March 2012, Partnership for African Social & Governance Research www.pasgr.org, and research programme on non-state social protection <http://www.pasgr.org/social-protection/>

¹⁰ See Informal and Formal Social Protection Systems in Sub-Saharan Africa, Editors Stephen Devereux and Melese Getu, Organisation for Social Science Research in Eastern and Southern Africa (OSSREA), March 2013. http://publications.ossrea.net/index.php?option=com_sobi2&sobi2Task=sobi2Details&catid=3&so bi2Id=2796&Itemid=0

Analysing where social protection interventions are more cost-effective than alternative social policy interventions is only possible when comparable data (sets) for both interventions are available. Quantitative analysis should preferably be based on data from existing evaluations of social protection programmes. This implies that studies will have to focus on countries for which micro-level data and other statistics are appropriate and available for use. In case such data are not available, research consortia can propose primary data collection. Such proposals should be well motivated and realistic and contribute to a new evidence base.

Quantitative data allow for three types of analysis considered under this Call:

- a) Use the short term impact of social protection programmes to model scenarios for medium and long term impact;
- b) Combine the short term impact of social protection programmes with an approach that traces the pathways or transmission channels at the level of the beneficiaries to develop a narrative on the medium term inclusive growth effect of social protection programmes;
- c) Use the short term impact of social protection programmes to consider the complementarity of different social protection programmes and/or the substitutability of social protection and alternative social policies.

Qualitative analysis for example could trace the benefits of the transfers and provide insights in the barriers and opportunities at household or institutional level and may be used to analyse the role of cultural or political-economy differences impacting on social protection programmes.

Research should consider the cost dimension of the programmes (cost-effectiveness that considers the value of the impact in terms of costs made).¹¹ The proposal should include a discussion on the costing methods to be used and explain how access to information on the costs will be realized.

Research must also include an analysis of the policy-making of formal social protection programmes. Policy-making includes the institutional conditions, the political feasibility of social protection programmes and the willingness of the government of the case country to invest in social protection.

2.4 Target groups

The ultimate target group to reap the benefits of this Call consists of the most marginalised and vulnerable people in the specified LMIC's and especially women, that to date do not benefit from the economic growth in their country.

The intermediate target group consists of those individuals and organisations that will be directly impacted by the outcomes of the projects, that is to say those who can adapt, adjust and apply newly generated knowledge and insight in order to wield new or adjusted social protection policies and interventions. This intermediate target group will be found primarily among local and international practitioners, especially policy-makers.

Finally, the most immediate target group consists of researchers from across the globe.

¹¹ Or calculate the costs of not having a program in case that policy alternative is central.

3 Guidelines for applicants

3.1 Who can apply

A research project must be carried out by **a consortium of at least two research organisations¹²** from across the globe **including at least one from a LMIC¹³**, preferably a research institution from one of the seven countries on which the Call focuses: Benin, Ethiopia, Ghana, Kenya, Mozambique, Rwanda and Uganda.

Embedding research in local and regional problems and opportunities and in socioeconomic and political conditions, is a prerequisite for sustainable impact. The research question should demonstrably relate to ongoing debates and dilemmas concerning social protection policies among government policy-makers and wider stakeholders in the country of research. Therefore, **preferably the consortium also involves practitioners**, including policy-makers (see footnote 4) in defining the research focus of the project, and in disseminating the project results. Consequently, the grant may cover not only research activities, but also knowledge management activities that encourage active involvement of the relevant policy-makers and practitioners as well as communication activities with broader stakeholder groups.

Each individual (main or co-) applicant can participate in only one project proposal. All organisations participating in the consortium must be registered as a legal persona.

Together, the consortium members will steer the process of project demand articulation; formulate and submit the proposal; contribute to research activities, communication and (possible) capacity strengthening activities and support the application of new knowledge and insights.

The consortium member organisations must appoint an individual ("main applicant") from their midst. He or she should hold a senior position (at least a PhD) with the participating research organisation. The research proposal must be submitted to NWO-WOTRO by the main applicant. He or she will act as project coordinator and point of contact with NWO-WOTRO. The main applicant's organisation will take responsibility for the project secretariat, the day-to-day management and all financial affairs of the project.

¹² Research organisations include knowledge institutions:

- whose main task is to carry out independent research;
- that have no profit motive other than that for the purpose of further research;
- whose researchers enjoy freedom of publication in the international academic literature.

Universities, higher education institutions, think tanks, planning offices, centres for international scientific education that meet these criteria are included and may qualify as research organisation. Research organisations may be public or private organisations. Research organisations from around the globe can apply.

¹³ For eligible LMIC countries see: www.oecd.org/dac/stats/daclist, including the Palestinian Territories.

3.2 What can be applied for

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

Applicants should keep in mind the following aspects when developing their proposal:

General project characteristics

- Consortia must provide a proper contextualisation of the proposed research project within the relevant national LMIC policy frame.
- The project design should address the linkages among project partners including feed-back, supervision and dialogue.
- A project proposal must consist of a coherent set of different activities (a.o. research, knowledge sharing, communication). The activities must be properly integrated.
- The project proposal should explain how it will plan, organise and budget the foreseen activities over time.
- Consortia applying for a grant are advised to write their applications for a broad audience: proposals should be clear and comprehensible to international practitioners and to research experts from different disciplinary backgrounds.

Research activities

- The proposal should be based on a clear conceptual framework and analysis of the knowledge questions to be addressed and explain how these relate to (one of) the research foci and boundaries mentioned in section 2.2. The proposal must show how research activities contribute to new, evidence-based knowledge and insights on social protection policies in one of the target countries.
- The research proposal should include an elaborated description and motivation of the methodological approach including all aspects mentioned in section 2.3.
- The proposal should include a letter of support that guarantees that the owner of primary datasets required for the research makes these datasets available to the consortium.
- Projects should contribute to “on-the-job” capacity strengthening of researchers, potentially including communication training on how to influence policy.

Knowledge sharing, communication and valorisation activities

Strengthening a learning culture in a broader group of stakeholders can enhance the development impact of the research programme Inclusive Development Policies in Sub-Saharan Africa at large. Consortia members must be prepared to organise and participate in activities for the exchange of making the knowledge deriving from the programme available and accessible to non-scientific stakeholders and enhance the awareness of relevant policy makers on the newly acquired knowledge and insights.

In specific, to maximise impact, the project consortia are expected to actively participate in Knowledge Platform activities and to engage with its local networks. For this, the Knowledge Platform on Development 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 and may be invited to other Platform activities.

3.3 Budget

The grant should be regarded as a contribution to the total costs associated with the activities of the research project. Applying projects may need additional contributions (in kind) from other sources, such as from universities (e.g. the costs of supervision and overhead) or other consortium members. Consortia should valorise the in kind contribution

in their application, including costs of research personnel and materials to the project and calculate the total in kind (and if relevant in cash) contribution to the project.

The grant that can be requested is at maximum € 300,000 for a maximum 24 month period. The applicants can budget for costs to be made by all project staff employed by a consortium member organisation and directly attributable to the research project.

Reimbursable costs

The following reimbursable budget categories are distinguished:

I. Personnel costs for project staff¹⁴:

Salaries for personnel should be guided by the employing organisation's norms and legal regulations of the country concerned. However, maximum limits are put:

- Salaries should not exceed the maximum gross (before tax) full-time¹⁵ monthly rates of € 4000 for junior staff and € 6000 for senior staff¹⁶;
- Salaries are expected to cover all personal costs including costs for insurances, travel from and to work, medical costs, et cetera;

The total personnel costs may not exceed € 215,000.

II. Research costs:

- Travel expenses and accommodation costs incurred on short trips (<3 months) by project staff members (max. € 20,000);
- Technical and administrative support (not exceeding the maximum gross (before tax) full-time monthly rates of € 3000), use of existing data, durables (buildings excluded), consumables;
- Bench fees: for each full-time researcher that is a member of the project staff, a bench fee of € 5000 can be made available. The bench fee is meant to support the academic career (e.g. promotional costs, congress visits, publication fees, et cetera) of the researcher;
- Training fees and consumables to improve communication or research skills of the project staff members and of practitioner stakeholders beyond the consortium.

The total research costs may not exceed € 50,000.

III. Knowledge sharing costs:

- Activities organised by the consortium and aiming at involving stakeholders from outside the consortium in the project and to create awareness on the project results amongst policy makers, such as multi-stakeholder meetings and workshops, media products (instruction videos, policy briefs, other publications), et cetera;
- An end-of-project workshop with stakeholders for a self-evaluation.

(Travel expenses for project staff members are excluded here as they are already covered in category II.) Maximum € 35,000.

¹⁴ Project staff refers to individuals who actually conduct the project activities, including supervision of (this staff during) the project. However, the latter may also be budgeted as in kind co-funding.

¹⁵ Full time equivalent (fte) is based on a working week of 40 hours.

¹⁶ Senior research staff: at least a completed PhD.

Co-funding by consortium members

Consortium members may have to contribute in kind to the total grant in order to cover the total costs of the project. This co-funding (for example a senior researcher's time to mentor or oversee research project staff) must be made explicit and valorised in the overall budget overview. Consortium members can also contribute co-funding through making primary datasets available (own or received from a third party). The amount of the in kind contribution of personnel costs should be guided by the organisation's norms and legal regulations for the country concerned. Participation in the activities of the Knowledge Platform cannot be budgeted as co-funding.

3.4 Impact pathways, monitoring & evaluation

Projects are expected to contribute to generating knowledge that can improve social protection programmes for the most vulnerable people in (one of) the seven target countries. Each project should explicate how the project works towards the realisation of this development aim by sketching an impact pathway (for an example, see Section 6.3). In this pathway, it is envisioned how the research activities result in outputs and can contribute to outcomes and impact, with verifiable indicators for the output and outcome levels.

Project evaluation

Projects will be evaluated at the end of the project's running time. The consortium has to organise a self-assessment which includes a workshop organised by the consortium, where the project's progress and results are discussed with a broader group of stakeholders from outside the consortium.

Final reports must also include a reflection on the impact pathway and its indicators and a financial report. Since projects must result in informed advice and policy prescriptions for practitioners, additionally a policy brief with an instruction for practitioners, especially policy-makers, explaining how to use the research results must be included.

The progress and results as presented in the final report will be shared and discussed with the Knowledge Platform on Development Policies.

WOTRO reserves the right to externally review projects under this Call.

3.5 General regulations and conditions

Applications must fulfil all conditions described in this Call text. With regard to accountability of the projects, the General Provisions of the NWO Regulation on Granting apply¹⁷. With regard to ownership of and access to results, the conditions as specified in the WOTRO Regulations¹⁸ apply with the exception of the rules concerning a consortium agreement. In addition, submitting a proposal implies that the consortium agrees with the use for free 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.

¹⁷ NWO Regulation on Granting: <http://www.nwo.nl/en/subscription-documents/nwo/legal/nwo-regulation-on-granting-may-2011>

¹⁸ WOTRO Regulations: <http://www.nwo.nl/en/subscription-documents/wotro/wotro-regulations>

3.6 When can applications be submitted

Applications can be submitted until **1 October 2014, 12:00 noon CET**.

However, a Letter of Intent describing aim, objectives, research focus, methodologies, consortium partners including the main LMIC country of the LMIC partner, must be received by WOTRO before **1 September 2014, 12:00 noon CET**.

The evaluation and selection procedure will take about 8 months. For an overview of the procedure, please see Section 4.1.

3.7 Submitting an application

A Letter of Intent can be submitted to NWO-WOTRO by sending the Letter in pdf by e-mail to socialprotection@nwo.nl.

An application can only be submitted to NWO-WOTRO 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 then this should be created at least one working 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. In case the main applicant is not affiliated with a Dutch knowledge institution, please select "NWO-SP" in "'s-Gravenhage" for the organisation.

A grant application in Iris has two parts: a fact sheet and an application form.

The fact sheet should be completed directly in Iris.

The application form can be found on the grant page for this Call on the NWO website:

www.nwo.nl/inclusivedevelopment. As soon as you have completed the application form you can add it to the fact sheet as a PDF file.

4 Assessment procedure

4.1 Procedure

Assessment

Letters of Intent will not be assessed for quality.

All applications are screened for compliance with the formal eligibility criteria as described in this Call by the WOTRO secretariat with advice of the Ministry of Foreign Affairs with regard to the eligibility criterion "Fit for Call". 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.

If eligible, applications will be assessed for quality based on selection criteria described in this Call text by at least two independent international peer reviewers. The consortium will be given the opportunity to respond to the peer review reports within three working days. Subsequently, the review reports together with the response of the applicant will be assessed by the International Advisory Committee (IAC) and ranked. The IAC will formulate an advice on funding to the Programme Committee (PC). Only proposals that were assessed of very good or excellent quality on all selection criteria will be considered for funding. On the basis of the advice of the IAC, the PC will decide on funding of the highest ranked proposals depending the available Call budget.

All applicants will be informed in writing about the outcome of the selection procedure. A project awarded a grant should start within three months after the granting date.

Time schedule

Proposals will be assessed, ranked and selected for funding according to the following time scheme:

30 June 2014	Publication Call for proposals. Application form available from the NWO website.
1 September	Deadline for submitting Letters of Intent.
1 October	Deadline for submitting proposals.
October- November	Assessment proposals by peer reviewers.
December	Response applicants on comments.
December-January	Evaluation and formulation of advice on funding by IAC.
February 2015	Decision on funding by the Programme Committee.
February 2015	Approval of budgets for awarded projects. Formal notification letter to applicants
Within 3 months after approval	Start research projects

Appeals procedure

If a consortium objects to a decision taken by the PC, 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 PC must be lodged within six weeks after the day on which the notice of this decision was sent.

4.2 Criteria

All applications will be screened for compliance on the basis of formal eligibility criteria and, if accepted in the selection procedure, subsequently assessed on the basis of two selection criteria:

Formal eligibility criteria

Formal criteria include (but may not be limited to):

- Timely received Letter of Intent;
- Timely application via Iris;
- Fit for Call: alignment of the project with the Call's aim, objectives, research foci, methodological obligations et cetera;
- Geographical focus;
- The project entails both strategy oriented research activities and knowledge sharing activities;
- Composition of consortium;
- Completed and signed application form;
- Format, length of text, language;
- Budget conditions;
- Completed annexes:
 - CVs of applicants employed by the consortium member organisations and project staff;
 - Letters of support outlining the availability and commitment of consortium members, including the valorised co-funding commitment of consortium members (signed by the head of the organisation/department);
 - Letter(s) of support signed by the owner of the data, that proofs the availability and use of appropriate micro-level data and other statistics by the consortium.

Selection criteria

All applications are evaluated according to two main criteria: scientific excellence and relevance for development:

1. Scientific quality:
 - Potential to generate new, evidence-based knowledge and insights;
 - Validity of the conceptual framework (coherence of the objectives, research questions and research methodology);
 - Feasibility of the research project to deliver the expected outputs within 24 months;
 - Appropriateness of internationally acknowledged experience of the consortium members and complementarity and level of integration of their expertise in the project.
2. Relevance for development:
 - Extent to which the proposal is contextualized in the socio-economic policy-making of social protection programmes in the targeted country;
 - Potential of the research to result in informed advice and policy prescriptions for practitioners, especially policy-makers;
 - Result-oriented approach of awareness raising and knowledge sharing activities;
 - Quality of the impact pathway and indicators, including impact for the ultimate (women) target group.

These two main criteria carry equal weight. Only applications evaluated as *excellent* or *very good* on both criteria are eligible for funding.

4.3 Governance of the Research Fund and Call

The Steering Group of the Knowledge Platform on Development Policies is responsible for the overall knowledge management of the Development Policy Knowledge Agenda. The Steering Group is represented in the Programme Committee (PC) of the research programme Inclusive Development in Sub-Saharan Africa. The PC will share and discuss the knowledge generated by projects granted by this Call with the Platform, thus encouraging broad application of this knowledge and safeguarding alignment of consecutive Calls of the research programme with evolving knowledge needs as formulated by the Platform.

The Programme Committee (PC) operating under the mandate of the WOTRO Board, is the decision making body of the research programme and is responsible for:

- Approving of Calls, having consulted the Steering Group of the Knowledge Platform;
- Appointing of members of the International Advisory Committee (IAC);
- Allocating funding to projects, based on the advice of the IAC¹⁹;
- Approval of project evaluation reports, based on the advice of the IAC.

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

The PC, operating under a mandate from the WOTRO Board, consists of representatives of the Ministry of Foreign Affairs of the Netherlands (1), NWO-WOTRO (1), the Steering Group of the Knowledge Platform on Development (1, observer status), and a representative of the international scientific community (1) who can be replaced depending on the specific Call theme. The PC is chaired by an independent, technical chair.

The International Advisory Committee (IAC) consists of international acknowledged researchers from different disciplinary background and international representatives from practitioner organisations. The IAC is responsible for:

- Evaluating and ranking research proposals;
- Advising the Programme Committee on funding of research projects;
- Assessing the quality of the project evaluation reports;
- Advising the PC on the approval of the project evaluation reports.

The PC may ask the IAC to advise the PC on other matters as well.

The composition of the PC and IAC has been published on the website of the research programme Inclusive Development Policies in Sub-Saharan Africa: www.nwo.nl/inclusivedevelopment. However, the identity of the individual peer reviewers will neither be disclosed in public, nor to any of the applicants.

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

¹⁹ The PC may deviate from the advice of the IAC in order to achieve a good balance with respect to geographical and thematic spread of the selected proposals.

4.4 Conflict of Interest

The NWO code of conduct on conflicts of interest²⁰ 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 (perceived) involvement with an application 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.

²⁰ See: <http://www.nwo.nl/en/subscription-documents/nwo/legal/nwo-code-of-conduct-on-conflicts-of-interest>

5 Contact details and further information

5.1 Questions regarding the content of this Call

For questions about the research programme Inclusive Development in Sub-Saharan Africa and this Call on Social Protection please contact:

NWO-WOTRO Science for Global Development

Website: www.nwo.nl/inclusivedevelopment

Phone: +31 70 3440907

E-mail: socialprotection@nwo.nl

- Day-to-day coordination: Ms Dr Eva Rijkers (after September 2014) or Nikky Antonise e.rijkers@nwo.nl or n.antonise@nwo.nl
- General information, forms and administration: Ms Samantha Schmitz s.schmitz@nwo.nl

Postal address:

NWO-WOTRO Science for Global Development

P.O. Box 93120

2509 AC The Hague

The Netherlands

Visiting address:

NWO-WOTRO Science for Global Development

Laan van Nieuw Oost Indië 300

2593 CE The Hague

The Netherlands

5.2 Technical questions about Iris

For technical questions about the use of Iris 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 call a 0900-number in the Netherlands. You can also send your question by e-mail to iris@nwo.nl.

5.3 Further information

For background information on the Knowledge Platform on Development Policies see: <http://www.knowledgeplatforms.nl/knowledge-platform-development-policies/>.

6 Annexes Proposals

6.1 General instructions for applicants of proposals

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. For main applicants that are not based at a Dutch organisation, please select "NWO-SP " in " 's-Gravenhage".

Some additional remarks on the use of Iris:

- The electronic application consists of two parts: a fact sheet and the application form itself;
- The fact sheet concerns the basic details of the applicant. Note that the fact sheet can only contain plain ASCII characters and that no formulas or layout formats can be used. These may be used in the application form;
- The application form must be attached to the fact sheet. Note that a PDF format is required for the attachment. In order to be able to process the details of the application properly, the file should not be protected in any way (no passwords, etc.);
- For technical questions about the electronic application system Iris, see Section 5.2;
- The receipt of your application will be confirmed by e-mail;
- A number of details presented in this section should also be completed/copied in the application details for the Iris system. These are indicated on the fact sheet.

6.2 Specific instructions for applicants of proposals

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

Provide a title for your project. This title must state the LMIC country²¹ ("country of case study") whose social protection programmes are addressed.

2. Project

Please indicate the following project details:

- a) Focus
Specify the comparative focus/foci (*Comparing effectiveness*: a, b, c or d) of the project proposal as outlined in Section 2.2. Describe the comparison made.
- b) Duration
Specify the duration of the project expressed in months (ultimately 24 months).
- c) Main member country
Specify the home base country of the consortium member organisation based in a LMIC.²²

²¹ Benin, Ethiopia, Ghana, Kenya, Mozambique, Rwanda, Uganda.

- d) Other member countries
Specify the home base countries of other consortium member organisations.
- e) Main field(s) of research
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 staff

- a) Consortium
Provide the details of the applicants and their employing consortium member organisations, i.e. those organisations and individuals that together carry the responsibility for the project.

For *Type of organisation* indicate if the participating consortium organisation classifies as: A = research organisation or B = practitioners organisation. In addition, classify if the organisation is 1 = public; 2 = private for profit; or 3 = private non-profit. Private organisations must be registered with the national Chambers of Commerce.

- b) Project staff
Provide a list of the project staff members, i.e. the individuals that will actually carry out the project. Provide the name of each staff member and the name and type of his/her employing organisation. Furthermore, indicate time involvement by specifying the number of full-time working months and full-time equivalents (fte) over the period the staff member is working on the project. Indicate the staff member's role in the project (e.g. researcher, supervisor, local coordinator, advisor, et cetera).

Research proposal

4. Consortium approach and track record

- a) Involvement of consortium members
Describe the role and added value of each of the applicants and their employer (the consortium member organisation) in terms of experience, skills, know-how and expertise.
In addition, indicate how the composition of the project staff will contribute to successful implementation of the proposed project and to achieving the desired impact. Describe the staff members' past experience with research into the cost-effectiveness and/or social protection and in collaborating in joint research activities.²³ This section should not exceed 500 words. Please specify the number of words used.

²² For eligible LMIC countries see: www.oecd.org/dac/stats/daclist, including the Palestinian Territories.

²³ Note: an applicant may (for example when actually conducting the research activities him/herself) or may not be part of the project staff (for example as supervisor of a staff member/the project and budgeted as co-funding).

b) References

Provide a list of a maximum of five key publications of each applicant or, if relevant, individual staff member. You may refer to scientific manuscripts, abstracts, reviews but also publications that address non-scientific stakeholders may be referred to, like policy or company briefs or reports, websites, et cetera. 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, et cetera).

5. 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 250 words, the country-specific contextualisation of the research focus, the contribution to the two objectives of the Call, the research approach, possible practitioner involvement and envisaged use in practice. Please specify the number of words used.

6. Project description

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

a) Background and rationale (see Section 2.2 and 2.3)

Provide a brief analysis and contextualisation of the research question addressed. Demonstrate how the research question relates to ongoing debates and dilemmas concerning social protection policies among government policy-makers and wider stakeholders in the country of research. Include an analysis of the country's policy-making of formal social protection programmes.

b) Objectives (see Section 2.1)

Specify the project's objectives in terms of its contribution to the main aim and specific objectives of the Call, including a rationale of how the project (eventually) will reach intermediate and ultimate target groups. Specify these target groups.

c) Research questions and methods (see Section 2.2 and 2.3)

Specify and motivate the research question(s): specify and motivate the specific social protection programmes that are targeted by the research and the comparison to be made. Describe the cost-dimension of the programmes. Describe how and at what level and within what term the specific protection instruments that the research focusses on are thought to contribute to concrete inclusive growth objectives. Explain why your social protection programme targeted can be considered a regular social protection programme. Specify and motivate the quantitative and qualitative methodologies to be used. Indicate how the methods and research approach chosen allows for addressing the academic basis and underlying assumptions of policy theories and intervention logic. Provide information on the type of costing method and on how access to appropriate information/data will be realized. Indicate project related baseline data that correspond with the outcome indicators of the impact pathway as much as possible.

d) Research activities

Describe and motivate the concrete research activities to be carried out as part of the project.

e) Knowledge management activities

Describe and motivate the approach and activities to share knowledge of the project plans, progress and experiences, and results beyond the consortium in broader, relevant stakeholder networks. Specify how involvement of what local practitioners/policy makers will be ensured throughout the project.

The total project description should not exceed 2500 words. Please specify the number of words used.

7. 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 attributes to inclusive growth and at what level.

Research outputs and their immediate utilisation 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	
- New, evidence based knowledge and insights gained and shared on	- Scientific publications, analyses and models for more effective policies/strategies - Policy briefs and programme descriptions focusing on new social protection policies published - Workshops/trainings
- New knowledge and insights gained and shared with the Platform or other stakeholders	- Scientific publications, analyses and models discussed with stakeholders - Policy briefs, lobby and advocacy materials, and other communication products and services for stakeholders - Workshops/trainings - Presentations at Platform activities
-	-
Research outcomes (external use)	
- Uptake of new knowledge and insights by development policymakers in the social protection sector	- White papers, proceedings of Parliament, publication of new laws and rules and regulations by authorities at various levels - New or adapted existing social protection policies advocated by practitioners
- Uptake of knowledge and insights by different policymakers in other sectors (for example the private sector)	- White papers, proceedings of Parliament, publication of new laws and rules and regulations by authorities at various levels - Formal changes in social protection programmes - More political and financial support for new or adjusted social protection programmes
- Uptake of insights and knowledge by the (local) research community	- Adjusted national/international research agenda - Increased financing possibilities for research on social protection - More local researchers involved in research on social protection
-	-

8. Timelines, planning

Complete table, showing how the project's activities will progress and result in output in time.

Funds required

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

9. Budget estimates

Calculation should be as follows: $a + b = c$, in which: a = budget requested from this Call on Social Protection; b = co-funding contribution of the consortium members and c = total budget.

a) Funds requested from this Call

Please present estimates for:

- Personnel costs, including a specification of the number of months and fte/month for each project staff member. Total max. for 24 months: € 215,000;
- Research costs, including travel and accommodation costs for consortium/project staff members (max. € 15,000), costs of materials (durables and consumables) and technical support staff and bench fees. Total max. for 24 months: € 50,000;
- Costs for knowledge management activities aimed at stakeholders beyond the consortium/staff, including (end-)evaluation workshop and participation in Platform activities. Total max. for 24 months: € 35,000.

b) Amount and source of co-funding expected

Sources, type and the approximate amounts of co-funding may be presented here. 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 9a cannot be covered by the subsidy. For example, personnel costs for supervision may be included as co-funding provided they are not budgeted in 9a. These costs should be included as in kind co-funding.

c) Total budget

Total budget, being the sum of items *a* and *b*.

Signatures

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

Annexes

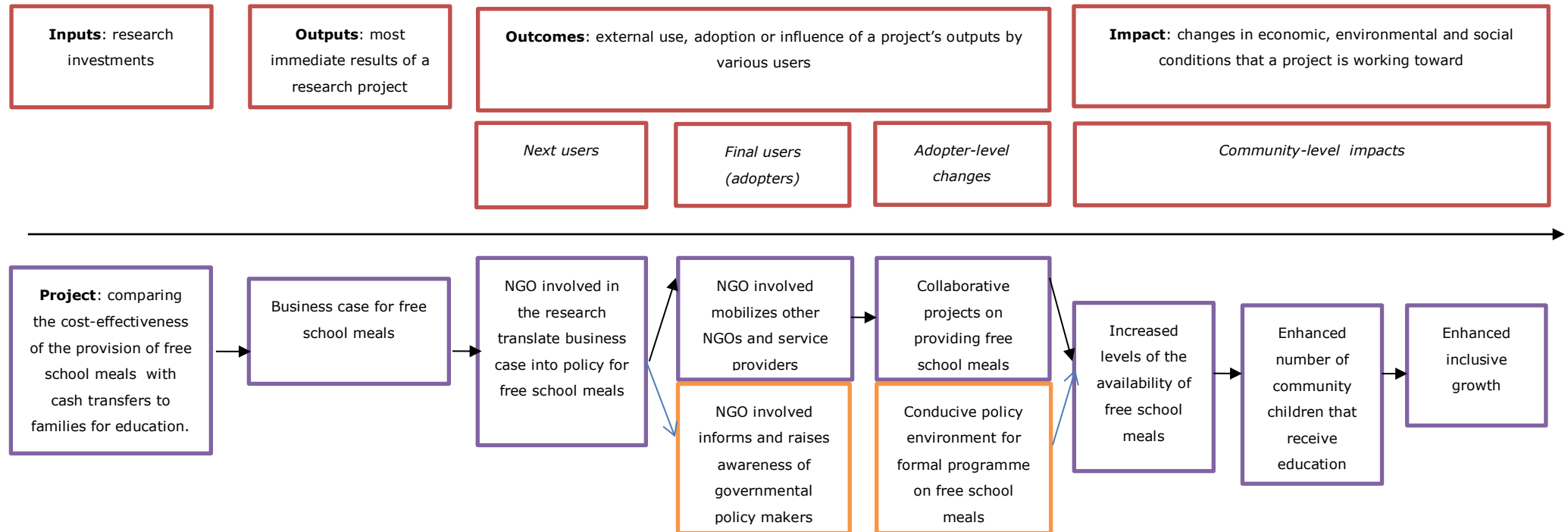
Please attach (and no other than):

- CVs (max. 1 page each) of each applicant employed by the consortium member organisations involved in the application;
- Letters of support outlining the availability and commitment of each consortium member organisation for the project, and stating any valorised co-funding commitment of the consortium member organisation (signed by the head of the organisation/department) (max. 1 page). The letters of support should be written in English and be addressed to the project coordinator (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 members for reconfirmation of the co-funding;

- A support letter of and signed by the beholder/ legitimate owner of data stating the availability and use of appropriate micro-level data and other statistics by the consortium for the project.

6.3 Schematic example of Research Impact Pathways



Freely after T. Walker et. al. (2008), *Strategic Guidance for Ex Post Impact Assessment of Agricultural Research*, Science Council of the Consultative Group on International Agricultural Research

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