

DGIS - IHE Delft Programmatic Cooperation 2016-2020 - DUPC2

Call for Research for development proposals led by institutes from developing countries

September 2018

Background

IHE Delft works with partners in developing countries¹ to help tackle water and development challenges. Bringing together knowledge and experience from different perspectives helps to find local solutions and strengthen local capacities. The DUPC2 programme supports these partnership activities². The purpose of this call is to encourage further collaboration between researchers and practitioners from developing countries, and their engagement in the programme.

Objectives of the Call

The following are the specific objectives of this call:

- Stimulate problem-orientated research to support the Sustainable Development Goals (SDGs) related to water and development.
- Increase the number of projects that focus on 'Water scarcity in the Middle East, Northern Africa and the Nile region' and/or have 'Gender and inclusiveness' as their main theme.
- Stimulate regional collaboration on transboundary water and development challenges, or collaboration on similar challenges where countries in a region could learn from each other.
- Encourage research that contributes to the development and uptake and/or piloting of innovative solutions, in close cooperation with the intended users of the research.

¹ DUPC2 uses the term 'developing countries' for low and middle income countries (OECD DAC list: <http://www.oecd.org/dac/financing-sustainable-development/development-finance-standards/daclist.htm>)

² DUPC2 is the programmatic cooperation between the Directorate-General for International Cooperation (DGIS) of the Dutch Ministry of Foreign Affairs and IHE Delft Institute for Water Education. See for more www.un-ihe.org/dupc.

DUPC budget and target

An estimated total budget of €800K is available for this call with a **maximum DUPC funding of €100k per project**. At least 10% of the total project budget needs to be co-funded (cash, in-kind) by intended users of the results of the research project.

Thematic areas and project duration

Projects under this call will address one or more of the following DUPC2 themes:

- Gender and inclusiveness in relation to water and development
- Efficient water management, particularly in the agricultural sector
- Improved catchment area management and safe deltas
- Access to clean drinking water and basic sanitation
- Water diplomacy

A description of the themes and development challenges the projects need to address is presented in Appendix 1.

The proposed projects have a maximum duration of two years.

Countries and Regions

Projects can target one or more countries, but should limit their focus to one region.

Projects funded under this call will focus on one of the following countries and regions:

- I. **Middle East (Jordan, Lebanon, Iraq, Palestine)**
- II. **North-African region and Nile river basin, including the Eastern Nile**
- III. Sahel (Mali, Niger and Nigeria)
- IV. Mozambique, and the Zambezi river basin
- V. Asian deltas, including the Mekong delta, Ganges-Bramaputra delta, Irrawaddy delta and Ciliwung delta
- VI. Colombia, and the Magdalena river basin

The first two listed regions get priority in this call; the anticipated minimum number of selected projects from these regions is four.

Other countries in the regions mentioned are eligible for funding, but only if they are a low or middle income country³ and only in combination with one or more of the countries mentioned above.

Supporting change on the ground

DUPC supports research that has impact on the ground. Examples of strategies to achieving tangible impacts on water and development challenges are given in Appendix 2.

³ See OECD list of recipients of Official Development Assistance (ODA): <http://www.oecd.org/dac/stats/daclist.htm>

Who can submit?

The proposal should be led by a researcher from an institute from a country or region the proposal is targeting (see above). It is preferable that the lead partner has collaboration with IHE Delft. The research team consist of at least two partners from developing countries from the same region. Teams are encouraged to include non-academic local/regional partners like civil society, NGO's, private sector and government if it can be demonstrated that they can bring strategic value to the project.

Eligible and Non-eligible costs

Eligible costs include staff time, travel and subsistence, equipment and consumables, and communication and dissemination costs.

Non-eligible costs include MSc and PhD fellowships, however out of pocket costs for MSc or PhD field research are eligible.

Budget requirements:

- At least 10% of the total project budget is co-funded (cash, in-kind) by the intended users of the results of the research project such as public, semi-public, private, civil society organizations.
- The total budget of organisations from high-income countries⁴ involved in the project, including IHE Delft, can only be maximum 15% of the total project budget.

Eligibility and Selection Criteria

Project applicants need to comply with the following eligibility criteria:

1. The proposal is submitted in the correct First Stage Proposal template (available at www.un-ihe.org/dupc).
2. The proposal is submitted in time to dupc_project@un-ihe.org (**before 31 October 5PM CEST**).
3. The proposal addresses one or more DUPC themes (see page 2 and App. 1).
4. The proposed activities are limited to one region and to the above mentioned DUPC countries and regions (see page 2).
5. The proposal is led by a researcher from an institute in a country or region the proposal is targeting and is in the above mentioned DUPC countries and regions (see page 2).
6. The proposal includes a cooperation between at least two partners from developing countries from the same region (see page 2).
7. The proposed activities of the project have a duration of maximum 2 years (see page 2).
8. The DUPC2 contribution requested is 100k Euro maximum per project (see page 2).
9. Costs presented in the budget sheet are eligible costs as indicated above (see page 3).

⁴ See OECD list of recipients of Official Development Assistance (ODA): <http://www.oecd.org/dac/stats/dacelist.htm>

10. At least 10% of the total project budget is co-funded (cash, in-kind) by the intended users of the results of the research project such as public, semi-public, private, civil society organizations (see page 3).
11. The total budget of organisations from high-income countries involved in the project, including IHE Delft, is maximum 15% of the total project budget (see page 3).

Proposals not meeting the above-listed eligibility check will be rejected, and not considered for the review process.

Proposal evaluation criteria

The following criteria will be used to evaluate the proposals (each bullet is a criteria). The criteria in *italic* are criteria for the full proposals only.

A scale 1-5 will be used. The criteria are weighted equally.

1. Scientific quality

- Is the scientific methodology of the proposed research sound?

2. Societal relevance

- Does the project address a relevant water and development challenge? To what extent is this rooted in stakeholder demands and priorities? Does the research collaborate with the appropriate stakeholders?
- Does it reflect a good knowledge of other work going on in this issue, in this region, and/or identify research and knowledge gaps?
- What is the potential for delivering appropriate and effective tools, technologies and perspectives for action? Does the proposal present convincing impact strategies to actually apply and institutionally embed such outputs with clearly defined users?
- Does the project contribute to equity and empowerment?

3. Degree of integration

- Does the proposal support collaboration and learning between the project partners in developing countries, jointly with the users of research results?
- Does the proposal integrate and link with other regional activities, policies and programs and thereby, contribute to enhancing the impacts on the ground?

4. Composition and strength of the consortium, incl. implementation capacity

- Does the proposed project team have the capacity to implement?
- Does the project team include and/or collaborate with stakeholders and non-academic partners (private enterprise, public sector, civil society and / or donors) relevant to the development challenge?
- *Is the work plan clear, effective and realistic? (only full proposal)*
- *Is the presented budget reasonable and the breakdown credible and realistic? (only full proposal)*
- *Does the project have an appropriate management structure with clear roles and responsibilities and have a clear owner of the outputs? (only full proposal)*
- *Is a clear communication strategy presented? (only full proposal)*
- *Is it clear within the consortium who has responsibility for engagement with non-researchers who will use research outputs, communications, monitoring and*

evaluation, knowledge sharing and gender, and is it clear they have the capacity and expertise to do this? (only full proposal)

- *Does the project include convincing monitoring and evaluation measures and are relevant indicators formulated? (only full proposal)*

Selection of proposals

DUPC will implement the Call procedures and process, and will ensure there is no conflict of interests with regards to selection procedures.

The proposal selection process consists of two stages:

1) First stage

At this stage a project concept note will be submitted by the lead partner. The concept notes will be externally reviewed (after passing the eligibility check criteria). External reviewers will consist of representatives from academia, semi-public/private sector, civil society and / or government. They will review and rank the First Stage proposals, taking into account the evaluation criteria presented in these Call Guidelines. The Rectorate of IHE Delft will make a final decision on the selection of projects based on the ranking provided by the external reviewers and advice from DUPC. A part of the selection process will be an interview with the project leader. Only selected proposals will require the submission of a full proposal (second stage).

2) Second stage

The proposals selected from the first stage will be asked to submit the full proposal. DUPC expects to fund all projects that are invited to develop a full proposal, although the final decision will be made based on the quality of the final proposal. Possibly, a “proposal development” workshop (early 2019) with projects leaders of the selected first stage proposals will be organized. The purpose of such a workshop would be to further develop the full proposal and clarify administrative, financial and technical requirements and procedures.

DUPC has a restricted budget and timeframe, and funding needs to be distributed among different regions and along various themes. Moreover, the programme aims at better coherence and synergy between its activities to be able to have stronger impact on the ground. These considerations might therefore be taken into account by DUPC in the advice to the Rectorate for the selection of proposals.

If an applicant is of the opinion that there has been a shortcoming in the way a proposal has been evaluated, a request for redress could be raised within one month after the notice of rejection. A request for redress should be sent to the Rector of IHE Delft via the DUPC email address (dupc_project@un-ihe.org). The outcome of the redress will be communicated via mail to the applicant.

Responsibilities of project lead

The project lead receiving the grant will be contracted by IHE Delft. The project lead is responsible for subcontracting project partners other than IHE Delft. Responsibilities also include technical and financial management of the project, e.g. submitting two yearly technical and financial reports to DUPC. More information about the details will be shared with the selected full proposals.

Timeline

- **August 2018:** Pre-announcement of the call (completed).
- **21 September 2018:** Launch of the call for research proposals (by e-mail and shared on the IHE Delft and DUPC websites).
- **31 October 2018:** Deadline for receipt of First Stage Proposals based on template provided with this call (5PM CEST).
- **30 November 2018:** Announcement of the result of the selection of First Stage proposals.
- **Early 2019:** "Proposal development" workshop (tentative).
- **March/April 2019:** Issuing of DUPC grant (after approval of the full proposal).

All first-stage proposals should be submitted via email to the DUPC (dupc_project@un-ihe.org) **before 31 October 2018 at 5PM (CEST)**.

Information

- www.un-ihe.org/dupc gives information about DUPC2 and its activities by themes and regions. The call is also announced on this website, and the templates and budget guidelines can also be found here.
- Comments and questions can be send to dupc_project@un-ihe.org. Answers will be shared to all applicants via the DUPC website.

Appendix 1. DUPC2 themes addressing key water and development challenges

Society is undergoing a global transition to more sustainable patterns of consumption and production and to better management of our natural resources base, but progress is not occurring uniformly across the planet. The pace of change is also limited by a number of grand challenges in the form of poverty, hunger, poor hygiene, inequity, biodiversity loss, and exploitative resources use. These occur everywhere but are concentrated the less developed parts of the world, which are consequently more vulnerable to global challenges like climate change. DUPC 2016-2020 will provide support in addressing these water and development challenges in the following themes, which are closely related to the priority areas for development cooperation in the field of water of the Dutch Ministry of Foreign Affairs:

- Gender and inclusiveness in relation to water and development
- Efficient water management, particularly in the agricultural sector
- Improved catchment area management and safe deltas
- Access to clean drinking water and basic sanitation
- Water diplomacy

Gender/inclusiveness hierarchies deeply shape processes of water governance, and co-determine the allocation of water and water services, the distribution of the risks of climate hazards and floods, as well as the distribution of the benefits of water interventions. This cross-cutting theme sets out to make these linkages visible. Gender and diversity (inclusiveness) are an integral part of the broader water governance agendas. The theme forms an explicit part of broader attempts to better understand the social impacts of water interventions or water-related disasters, as part of the development of strategic knowledge about what works for whom. It includes efforts to improve the inclusiveness of water decision making processes and water education, as well as the development of strategies to empower those with least voice in water and strengthen the water security of those with least rights and powers.

The main goal of the theme '**Efficient water management, particularly in the agricultural sector**' is reducing the knowledge gap to management of land and water resources for food and energy security in a sustainable and equitable way. This requires synergies with natural ecosystems, compatible with the respective socio-economic context. Challenges relate to amongst others improving water productivity taking into account values beyond crop production, best ways to revitalize large-scale irrigation systems as well as support small-scale farmer-led irrigation development, and water storage that are at the same time affordable and accessible and environmentally friendly. The challenges strongly link to understanding and analyzing the complexities of the inter-relations among agricultural water management technologies, the management and governance mechanisms and the ecosystem to develop a sustainable and profitable agricultural sector,. Also information and the generation of knowledge related to the dynamics of water in the real world, through the integration of information and communication technologies for data acquisition, modeling, forecasting, optimization and decision support are challenges to be addressed.

Central to the '**Improved catchment area management and safe deltas**' theme is the evolution of both the social and natural dimensions of socio-ecological systems in deltas

with a long history of civilization and socio-economic development, and that are currently densely populated. Water availability and equitable allocation between users is one of the challenges, and the promoting of cooperation to prevent conflict over shared waters. Environmental concerns are part of this, and the interaction with the social and economic systems. Water-related hazards like floods, droughts, pollution and related issues, are expected to increase in frequency and intensity almost everywhere around the globe due to economic development, population growth and effects of climate variability and change and sea level rise. Drought forms the other extreme of managing water resources, and although less clear to identify than flood hazard has widespread social, economic and environmental impacts to communities across the world. New approaches in the analysis and assessment of flood management, water resources availability and exploitation, river structure planning, hydropower potential are asked for. For instance, more holistic flood risk management that considers not only the hazard posed, but also the consequence of floods. Like the first theme, this theme requires a good understanding of the management and governance dimensions, as well as the support from information and communication technologies for data acquisition, modeling, forecasting, optimization and decision support.

The theme '**Access to drinking water and basic sanitation**' aims at increasing access to safe, sufficient and affordable water for people to meet needs for drinking, sanitation and hygiene. Research in this theme addresses the entire water supply and sanitation chain, mainly within an urban and peri-urban context, including centralized and decentralized approaches, advanced and low-cost technologies, and engineered and natural systems. It focuses on knowledge and innovation to both help *meet basic needs* and support the development of water supply, wastewater treatment, and resource recovery systems that *enable economic development*. Besides technical, technological and engineering aspects of water supply, sanitation, and hygiene (WASH), the theme also addresses societal, economic and institutional aspects in cooperation with water management and governance researchers, recognizing that technical solutions alone do not guarantee sustainable provision of WASH services. Proposals should contribute as much as possible to local practices and are expected to include local knowledge transfer and gender approach.

Water diplomacy aims to facilitate cooperation on shared water resources between states and prevent and/or resolve conflicts they may have. Various tools are available that can be applied at different levels, ranging from official negotiations or third party mediation to more technical measures like fact finding missions and joint monitoring used as trust building activities. Water diplomacy has the potential to promote wider cooperation and conflict prevention and contribute to regional security and stability. It can be successful when the involved parties perceive that despite competing and conflicting interests in water, non - collaboration results in a worse outcome. Water diplomacy is associated with water governance that analyses and seeks to improve legal and institutional arrangements and decision making processes that govern access, use and disposal of water and the interaction between competing and collaborating users and sectors at local, watershed and basin levels. For water diplomacy and water governance, spatially explicit information about current and future availability and use of water resources can be important, as well as a thorough understanding of the linkages with related sectors, such as food, energy, transport and trade.

Appendix 2. Strategies to achieving impact on water and development challenges

DUPC2 aims to achieve tangible impact on water and development challenges, which we translate as a change that results from its projects. This may include changes in individual and/or institutional knowledge, skills, practice, policy, investments, etc. that contribute to positive development impacts. For example, a project outcome could be improved water planning resulting from the use of the project's planning tool by a specific government department or could be the up take by the private sector of a new technology piloted by the project. Below a list of possible strategies to achieve tangible impact on water and development challenges:

- Make activities user-centred; they focus on problem owners / users and address their challenges, problem owners / users are involved in project implementation, which helps create ownership.
- Carry out activities in partnership with local partners, as they better understand the local situation. Such joint activities also allow for enhancing capacities - if needed.
- Include training and education in project design as they can be used to help build the necessary knowledge, skills and capacities of participants to address water and development problems in their home countries. Participants can be involved in projects and pilots case studies.
- Better link research, education and training. Activities incorporate research findings in new course modules/curriculum, including via online platforms and Open Course Ware, support graduate students/early career professionals in southern institutes to conduct research. Activities integrate research agendas with joint educational programmes and MSc training.
- Seek for contributions to civil society debates, plan and policy development, and investment agendas, including those supported by international donors. Activities will address these agendas and possibly influence them or contribute to their development or updating.
- Seek for synergy with relevant ongoing local activities and projects, which will increase the impact on water and development challenges. These can be supported by national and international stakeholders, including donors, and also the private sector.
- Involve those stakeholders who can play a role in testing innovations, demonstrating their value to interested stakeholders, or up-scaling from pilot to wider use. Ideally such stakeholders also co-fund development of innovations.
- Use outreach events and sessions, involving knowledge centres, government and private sector, to allow for exchange of ideas and experiences and networking. Activities tailor the communication of research results to key non-academic stakeholders; strengthen capacity of research partners to communicate research results to non-academic audiences, and contribute to knowledge sharing events between relevant DUPC partners.
- Seek for contributions from the Dutch water sector and Dutch experts, if relevant, to share Dutch solutions and experiences with due consideration of often different local conditions, and to create possibilities for cooperation.