

Federal Ministry of Education and Research (BMBF)
Call for proposals within the framework of the Federal Government's Strategy for the
Internationalization of Science and Research

Regulations for funding joint exploratory and preparatory measures for trilateral
German-French-African research initiatives in Sub-Sahara Africa

of 07 February 2011

Joint call for proposals by the Federal Ministry of Education and Research (BMBF/Germany, D) and the "Agence inter-établissements de recherche pour le développement" (AIRD/France, F) under the patronage of the French Ministry for Higher Education and Research (MESR) and the French Ministry of Foreign and European Affairs (MAEE).

1 Funding purpose and legal basis

1.1. Funding purpose

It was decided within the framework of the 3rd German-French Research Forum in 2009 to intensify solution-oriented cooperation in science and research between Germany, France and the countries in Sub-Sahara Africa.

This call is based on the agreement between the German and the French governments on the improved coordination and linking of respective national research initiatives with Sub-Sahara Africa. In implementing this agreement, the Ministries involved agreed in November 2010 to issue a joint German-French call for proposals in order to specify or complement existing proposals for initiatives with African partners.

Consistent use is to be made of the synergies emerging from linking existing competences and experience and the joint use of established networks and research infrastructures in order to provide visible added value compared with previous measures. Special significance is therefore attached to trilateral cooperation between various partners in the field of research and development.

As an initial measure, a German-French Workshop took place in Potsdam from 17 to 18 June 2010 entitled "Germany and France towards a joint approach for the S&T cooperation with developing countries: The example of Sub-Sahara Africa". The workshop was organized by the two German Ministries BMBF and BMZ (Federal Ministry for Economic Cooperation and Development) together with the corresponding French Ministries, MESR and MAEE. It was attended by representatives from the Ministries, from national implementing and intermediary organizations (IB (International Bureau), AIRD, German Technical Cooperation (GTZ), German Academic Exchange Service (DAAD), "Institut National de Recherche en Informatique et en Automatique" (INRIA), "Centre de coopération internationale en recherche agronomique pour le développement" (CIRAD) among others) as well as from industry and by researchers from Germany, France and Sub-Sahara Africa. In the course of the two days, the participants drafted proposals on possible German-French-African initiatives in four different subject areas: 1) Health; 2) Agriculture/Food Safety; 3) Environment and 4) Applied Mathematics/Computer Science.

In the follow-up, initial proposals for possible initiatives were drafted with the help of an online consultation process in which workshop participants were able to take part. These proposals were presented to the Ministries in mid-October. The documents and summaries are available at:

<http://www.kooperation-international.de/en/countries/themes/info/login/wg/0/>

(Username: potsdam / Password: trilateral; follow link on the navigation bar to "Workgroups" and select "Germany and France towards a joint approach for the S&T cooperation with developing countries: The example of Sub-Sahara Africa, Potsdam 17.06.2010-18.06.2010").

Funding under the current regulations is intended to enable German, French and African researchers to jointly plan a new strategic initiative in one of the subject areas stated in the second paragraph of Section 2 for solution-oriented research collaboration with Sub-Sahara Africa aimed at tackling an important current challenge facing countries or regions in Sub-Sahara Africa.

1.2 Legal basis

For German applicants project grants will be awarded in accordance with the present funding regulations, the BMBF's standard terms and conditions for grants on an expenditure basis and the administrative regulations under sections 23 and 44 of the Federal Budget Code (BHO). There is no legal entitlement to a grant. The funding provider will make a decision after due assessment of the circumstances and within the framework of the budget funds available.

2 Object of funding

Under this joint German-French funding activity, funds may be granted to measures to devise and plan strategic initiatives for future research cooperation with Sub-Sahara Africa which are considered wise, pressing and relevant within the framework of a trilateral German-French- African cooperation programme.

Applicants are called upon to submit proposals for exploratory measures for trilateral initiatives in one of the following subject areas based on existing bilateral German-African or French-African measures:

- (1) Health
- (2) Agriculture/ Food Safety
- (3) Environment
- (4) Applied Mathematics/Computer Science

3 Funding recipients

Applications under this call may be submitted by German and French

- a) research institutions and
- b) institutions of higher education

German research institutions which receive joint basic funding from the Federal Government and the *Länder* may only be granted project funding supplementary to their basic funding for additional expenditure under certain preconditions.

4 Prerequisites for funding / type, scope and rates of funding

The research teams must consist of at least one German and one French partner and one partner from Sub-Saharan Africa. The involvement of African institutions of higher education is of prime importance in order to contribute towards capacity building in Sub-Saharan Africa.

Funding will be provided in the form of non-repayable project grants.

Funding will cover up to 100% of individual parts of the project expenditure. The following project-related measures are eligible for funding:

a) Travel

- German project partners financed by Germany:
 - i. Rail/air tickets: Economy class from place of departure to the location of the partner
 - ii. Daily allowance according to the respective country.
- French project partners financed by France in accordance with French regulations (cf. <http://www.aird.fr/>).
- African partners will be funded either by Germany (via the German applicant) or France (via the French applicant).
 - i. Expenditure borne by Germany:
 - (a) Stays in Germany are funded with fixed lump-sum grants of 104 euros per day.
 - (b) Trips within Sub-Saharan Africa depending on country.
 - ii. Expenditure borne by France in accordance with French regulations (cf. <http://www.aird.fr/>).

b) With regard to the organization of **concept meetings** in Germany, France or Sub-Saharan Africa, grants can be provided by Germany or France towards expenses such as hospitality and rental of venues. It is expected that the partners will make their own contributions (e.g. use of rooms in the partners' facilities).

c) **Miscellaneous project-related expenditure** (all additional expenditure caused by the project) may be borne by France or Germany to a limited extent.

Expenditure which is not eligible for funding:

- Staff costs
- Standard basic equipment such as office material, communications, laboratory and IT equipment.

The applicants must declare that the means needed to conduct the project are available.

The total funding from Germany and France may amount to a maximum of 40,000 euros per project.

The project partners should set up their cooperation in the following way:

A German and a French research institution or institution of higher education (cf. 3) act as applicant. The German applicant submits the application to the IB and the French applicant to the AIRD.

- The partners in a project appoint a German, French or African project coordinator.

- All other partners are to be involved in the joint application and must confirm their interest in participating in the project in a Letter of Intent, bearing the signature and official stamp of the institution.

A measure that is granted funding may run for a maximum of four months (01 May 2011 to 01 September 2011).

Funding is coordinated by the funding organizations in Germany and France in accordance with the present German funding regulations or French regulations (cf. <http://www.aird.fr/>). The German applicant receives funding from the BMBF and the French applicant from the AIRD. Expenditure for the other project partners is to be integrated in the applications by the German and French applicants mentioned above.

The allocation of funding is coordinated by the German and French sides in accordance with the respective national regulations governing project funding in Germany and France. Part of the notification of award of grants on an expenditure basis for German applicants are the Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung (ANBest-P) (General Auxiliary Conditions for Grants Provided for Projects on an Expenditure Basis) and the Besondere Nebenbestimmungen für Zuwendungen des BMBF zur Projektförderung auf Ausgabenbasis (BNBest-BMBF 98) (Special Auxiliary Terms and Conditions for Funds Provided by the BMBF for the Promotion of Projects on Expenditure Basis).

A maximum of three exploratory measures in each of the subject areas mentioned above will be funded.

5 Procedure

5.1 Involvement of the International Bureau and of the AIRD

On the German side, the BMBF has entrusted the International Bureau with implementing the funding measure:

Internationales Büro des Bundesministeriums für Bildung und Forschung (IB)

Deutsches Zentrum für Luft- und Raumfahrt e.V. (German Aerospace Center)

Heinrich-Konen-Str. 1

53227 Bonn/Germany

Internet: <http://www.internationales-buero.de>

Contact persons at the IB

For specialist questions:

Dr. Anne Pflug,

Internationales Büro des Bundesministeriums für Bildung und Forschung (IB)

Deutsches Zentrum für Luft- und Raumfahrt e.V. (German Aerospace Center)

Heinrich-Konen-Str. 1

53227 Bonn/ Germany

e-mail: anne.pflug@dlr.de

phone: +49 2 28-38 21-539

For administrative questions:

Stephanie Neumann,

Internationales Büro des Bundesministeriums für Bildung und Forschung (IB)

Deutsches Zentrum für Luft- und Raumfahrt e.V. (German Aerospace Center)

Heinrich-Konen-Str. 1

53227 Bonn/ Germany

e-mail: stephanie.neumann@dlr.de

phone: +49 2 28-38 21-848

The AIRD will be responsible for implementing the funding measure under the patronage of the French Ministries MESR and MAEE on the French side. Information on the call by the AIRD in France is available from the AIRD at <http://www.aird.fr/>.

Contact at the AIRD

Antoine Bricout,

Agence inter-organisme de Recherche pour le Développement (AIRD)

44 boulevard de Dunkerque

13572 Marseille Cedex 02/ France

e-mail: antoine.bricout@ird.fr

phone: +33 4 91 99 94 45

Applicants should contact the respective contact persons at the IB and AIRD in good time when preparing their applications.

5.2 Submission of outline proposals (D) and applications (F), deadlines, funding and decision-making procedures

5.2.1 Outline proposals (D) and applications (F)

The application/outline proposal which is to be submitted consists of a cover page, a description of the preparatory measure, an overall expenditure and financing plan for the measure, a brief description of the trilateral initiative to be planned and the Letter of Intent of the individual partners (cf. 5.2.1 A-E).

All application documents are to be in English in so far as additional languages are not called for in individual cases in the following. (Format: Arial 11, single spacing, margins: 2 cm).

A) Cover page (maximum of two pages):

- Project title
- Subject area
- Summary in German, French and English

B) Description of the preparatory measure (maximum of three pages, without list of publications):

- Question/ problem
- Target region(s) in Sub-Sahara Africa including reasons for their selection
- Nature and extent of the planned collaboration
- Anticipated work and travel, including time schedule

- Project partners
 - Nomination of the coordinator of the project
 - Qualifications and experience of the project partners from Germany, France and Sub-Saharan Africa
 - Added value of cooperation between the partners
 - List of publications (maximum of five publications per partner)
- C) Overall expenditure and financing plan for the preparatory measure, stating the planned project-relevant expenditure of the German, French and African partners (maximum of one page):

The following details are necessary and are to be provided with the assistance of the table below:

- (i) All expenditure which is eligible for funding, i.e. all expenditure which is funded by Germany and by France – broken down separately.
- (ii) Expenditure which is necessary for the project but not eligible for funding.
- (iii) Expenditure which is in principle eligible for funding but could possibly be funded by the partners themselves or by third party grants.

The objective is that Germany and France should each bear approximately 50% of the eligible expenditure on the proposed project.

Overall Expenditure and Financing Plan [euros]	Expenditure Travel	Expenditure Concept Meeting	Expenditure Miscellaneous	Total
Expenditure eligible for funding				
Expenditure applied for by Germany: (approx. 50% of the total expenditure in the application)				
Partner #1				
...				
Sub-total				
Expenditure applied for by France (approx. 50% of the total expenditure in the application)				
Partner #1				
...				
Sub-total				
Necessary expenditure which is not eligible for funding				
Partner #1				
...				
Sub-total				
Expenditure which is eligible for funding, funded by partners or third parties				
Partner #1				
...				
Sub-total				
Total				

- D) Brief description of the trilateral initiative to be planned (maximum of two pages):
- Type, scope and purpose of the trilateral initiative
 - Description of the current state of the art of science and technology in the subject area
 - Target region(s) in Sub-Sahara Africa, including reasons for their selection
 - Relevance of the initiative for Africa
 - Relevance of the initiative for existing strategic initiatives in Germany and France (e.g. national or institutional programmes)
 - Added value of a trilateral initiative
 - Existing relevant initiatives by other stakeholders in Germany, France and Sub-Sahara Africa which are being built upon
 - Contribution to capacity building at student, research student and post-doctoral level
- E) Letter of Intent from each partner (signed and bearing the official stamp of the institution; maximum of one page per partner)

5.2.2 Funding procedure for German applicants

The funding procedure takes place in two phases. The first phase involves the submission of outline proposals which are evaluated by an independent panel of experts. Those applicants whose outline proposals are approved for funding by the panel of experts can then submit formal applications for funding in a second procedural step (description of project and formal proposal).

The complete outline proposal (cf. 5.2.1) is submitted as a pdf document per e-mail via the specialist contact person at the International Bureau of the BMBF (cf. 5.1 for the address). The outline proposal is identical to the application made by the French applicant to the AIRD.

5.2.3 Funding procedure for French applicants

The complete application (cf. 5.2.1) is submitted as a pdf document per e-mail via the specialist contact person at the AIRD (cf. 5.1 for the address). The application is identical to the outline proposal submitted by the German applicant to the International Bureau of the BMBF.

5.2.4 Deadlines and presentation of outline proposals (D) and applications (F)

The outline proposal (for German applicants) and the application (for French applicants) are to be submitted in electronic form to the respective specialist contact person at the IB and the AIRD at the latest by 24.00 CET on 24 March 2011. The deadline for submission is a cut-off deadline. Outline proposals or applications received after the deadline cannot be considered.

The submission of an application or outline proposal does not establish a legal claim to funding.

5.2.5 Selection procedure for outline proposals (D) and applications (F)

Funding will be provided for projects that have high potential for realization and success in line with the objectives of this call.

The outline proposals (D) and applications (F) will be assessed in terms of form and content separately by independent experts on the German and French side.

The assessment of form includes verifying the

- (i) Timely submission of the application to the IB and the AIRD (cf. 5.2.2)
- (ii) Completeness of the application documents (cf. 5.2.1)
- (iii) Composition of the consortium (cf. 4).

The assessment of content will be based on the following criteria:

- Observance of the conditions for participating (cf. 4)
- Compliance with the specified thematic priorities and the specified formal requirements
- Relevance of the topic for the development of Sub-Saharan Africa as well as for cooperation between the EU and Africa
- Added value of the trilateral research approach (Germany-France-Sub-Saharan Africa) compared with existing (bilateral) initiatives
- Support and consideration for existing strategic/thematic framework programmes in Germany and France (e.g. national funding programmes or institutional strategies)
- African "ownership"
- Support for capacity building in Sub-Saharan Africa, particularly in the field of higher education
- Level of involvement of South-South networks
- Consideration and involvement of existing activities in the respective subject area
- Innovative and strategic character of the initiative
- Feasibility of the initiative

These assessments will be followed by the final selection of the outline proposals/applications. This selection will be made by a German-French selection committee – made up of representatives of the BMBF, the project management agency at the Deutsches Zentrum für Luft- und Raumfahrt e.V. and the AIRD – on the strength of the assessments by the German and French independent experts as well as on the basis of the criteria mentioned above. Only applications that are approved by both the German and French sides may be funded.

The funds will be allocated in accordance with the relevant regulations applying in Germany and France respectively.

The approval, payment of and accounting for the funds as well as proof and examination of proper use and, if necessary, the reclaiming of the funds awarded are governed on the German side by the administrative regulations pertaining to section 44 of the Federal Budget Code (BHO) and sections 48 to 49a of the Administrative Procedure Act (VwVfG), unless deviation is permitted under the present funding regulations.

6 Reports

A detailed final report on the measure that has been implemented is to be presented to the IB and the AIRD per e-mail via the specialist contact persons at the IB and the AIRD by 1 September 2011 at the latest (cf. 5.1). This report is to be accompanied by a description of the planned strategic initiative as further proof of the utilization of funds for the measure performed. The description of the initiative should be based on the information contained in the application (cf. 5.2.1 C) but should be more detailed than the application. In addition, information is to be provided on the proposed consortium for implementing the initiative*, on the planned costs and on the time schedule for the planned initiative.

Following evaluation, the initial results of the projects funded within the framework of this call will be presented and discussed at the 4th German-French Research Forum in October 2011.

7 Entry into force

These funding regulations will enter into force on the day of their publication in the Federal Gazette (*Bundesanzeiger*).

The present call for proposals is available in German (publication in the Federal Gazette <http://www.bmbf.de/foerderungen/677.php>) and in French (<http://www.aird.fr/>).

* The configuration of the consortium for the preparatory measure is not necessarily identical to the configuration of the consortium for the planned trilateral initiative.