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Federal Ministry  
of Education  
and Research



## SASSCAL II - Research Call

Bonn, Germany

Windhoek, Namibia

March 2019

## Announcement

Announcement of regulations governing the funding of the research supporting the “SASSCAL - Southern African Science Service Centre for Climate Change and Adaptive Land Management” under the BMBF’s “Research for Sustainable Development” (FONA<sup>3</sup>) framework programme.

**Date: 25<sup>th</sup> March 2019**

### 1. Funding Purpose, Legal Basis

#### 1.1 Funding Purpose

As highlighted by the reports of the Intergovernmental Panel on Climate Change (IPCC), underpinned by the previous United Nations Framework Convention on Climate Change Conferences of the Parties (UNFCCC COPs) and agreement by signing the Paris Agreement, there is consensus among governments, decision makers and researchers that climate change is an imminent threat to societies and the environment that calls for scientifically informed mitigation and adaptation actions, policies and strategies around the world. Southern and Western Africa has been identified as some of the region’s most vulnerable to climate variability and change. To address challenges and threats posed by climate variability and change, decision makers at all levels need scientifically sound information and knowledge to develop adaption and mitigation strategies and to sustainably develop the southern African environment, economies and societies.

As part of the framework programme "Research for Sustainable Development" (FONA<sup>3</sup>), the German Federal Ministry of Education and Research (BMBF) is funding research activities that assist in developing the required human capital and support the development of decision-making tools for future oriented action and delivering innovative solutions for a sustainable society and economy in key regions that are expected to be severely affected by climate change. Southern Africa is one of these key regions. Furthermore, the BMBF’s Africa Strategy aims at cooperation with African partners to address global challenges, establish sustainable high-quality science infrastructures, strengthen regional and continental collaboration, develop innovative potential and new markets, and raise Germany’s visibility as a key partner for Africa in education and research. In addition to the BMBF’s Africa Strategy, the framework for implementation of the present funding measure includes the Federal Government’s 2008 Strategy for the Internationalization of Science and Research, the BMBF’s International Cooperation Action Plan and the 2014 Federal Government Policy Guidelines for Africa.

A key instrument of FONA<sup>3</sup> was the establishment of two Regional Science Service Centres focusing on climate change and improved land management in Africa. In July 2010, following a one-year preparatory phase, the BMBF, together with partners from ten west African and five southern African countries, started to establish a Regional Science Service Centre (RSSC) in west Africa (WASCAL) and one in southern Africa (SASSCAL). SASSCAL (Southern African Science Service Centre for Climate Change and Adaptive Land Management), a joint initiative by Angola, Botswana, Germany, Namibia, South Africa and Zambia, started operation in 2010 aims to become a regionally relevant and internationally acknowledged institution, serving the region with scientifically sound information and knowledge related to climate change and adaptive land management.

SASSCAL has supported a Research Portfolio comprising of 88 projects (worth € 23.8 million over five years) which ended in April 2018. These BMBF-funded projects are conducted across the SASSCAL region and focus on providing information and services allowing for a better understanding and assessment of the impact of climate and land management changes in five thematic areas: climate, water, agriculture, forestry and biodiversity. Although excellent science was conducted in the

research activities of the current Research Portfolio, it was recognised that projects were primarily developed at national level with little regional integration. To address this challenge and to improve the regional integration in future research programmes, a SASSCAL Science Plan, addressing the next phase of SASSCAL (2019-2022), was developed consultatively and collectively beyond national ambit and with due consideration for the cornerstones of SASSCAL's research and capacity building value proposition, namely relevance, excellence and innovativeness, capacity development and regional integration.

The research needs that were identified during a consultative and participative process shaped the fundament of the SASSCAL Science Plan that will contribute to providing evidence-based knowledge for

- a better understanding of the dimension, dynamics and impact of global environmental change in southern Africa,
- a better understanding of the implications of these changes for decision making at all stakeholder levels, and
- stimulating and supporting innovation, capacity building and decision making in responding to these challenges.

To achieve this, the SASSCAL Science Plan identified and prioritises the regional needs, but remains open in areas where SASSCAL has a comparative advantage because of its regional, trans- and interdisciplinary as well as stakeholder-oriented approach.

Collaborative and trans-disciplinary research investigating aspects of global change that affect the wellbeing and sustainable development of southern Africa and that are unlikely to be conducted by scientists abroad, is understood as a key for addressing regional research needs and, thus, for the successful performance of SASSCAL.

SASSCAL's comparative advantage is manifested in its regional approach, building on a research network with the required scientific and disciplinary strengths developed during the first phase of SASSCAL (2013-2018) and allowing to respond to the needs in research, capacity development and service provision in a regional effort.

With this new call for the subsequent research phase (2019 - 2022), BMBF continues to fund research in southern Africa, building on results achieved during the first phase and referring to stakeholder and decision maker's needs.

The overarching goal of this call is to provide scientific inputs into SASSCAL's strategic research framework that builds on the achievements of the first phase of SASSCAL and is in alignment with the institution's mandate. The SASSCAL research framework addresses regional research needs and imperatives within the context of the 2030 Agenda for Sustainable Development, the Paris Agreement, the AU 2063 Vision and Action Plan, the African global change research initiatives, national policies as well as the various SADC action and development plans, especially on science, technology and innovation as well as on climate change.

To achieve this goal, the following objectives for SASSCAL's research framework were identified and, thus, will provide the basis for this call for research proposals:

1. Encourage and support the translation and transfer of research outcomes, new knowledge and innovation, supporting SASSCAL vision for the development of southern African societies. By developing and implementing instruments for dissemination and accessible information, SASSCAL will enhance the ability to transfer research knowledge to a wider community of knowledge users and policy makers.
2. Develop, foster and enhance internationally recognized research programmes and emerging research strengths. SASSCAL's international reputation will be intensified through increasing regional, continental and global engagement by developing and expanding international

research collaboration, building sustained multinational partnerships, and addressing global challenges through international development projects.

3. Promote and enhance SASSCAL's research, capacity development and service provision activities that provide transformative experiences for academia, stakeholders and collaborating private and public partners.
4. Promote and enhance opportunities for collaborative, inter- and transdisciplinary initiatives among SASSCAL partners with regional and international stakeholders.
5. Promote and enhance research partnerships that contribute to and benefit from SASSCAL's research strengths, increase the support for research, and enhance the delivery of research-based information to stakeholders and partners at local, national, regional and global level.
6. Support of research that advances the diversity and inclusivity leading to an increased understanding of cultures and communities within the region and across Africa, and research that affects people and improves the quality of their lives.

With this new call for the subsequent research phase (2019 - 2022), BMBF continues to fund research in southern Africa, building on results achieved during the first phase and referring to stakeholder and decision maker's needs.

## 1.2 Legal Basis

The BMBF will award grants in accordance with the following funding regulations: Sections 23 and 44 of the Federal Budget Code (BHO) and the administrative regulations adopted there under, as well as the BMBF's regulations governing applications for expenditure-based grants (AZA) and/or cost-based grants (AZK). There is no legal entitlement to a grant. The funding authority will take a decision after due assessment of the circumstances and within the framework of the budget available.

The funding under these regulations fulfils the requirements of Commission Regulation (EU) No. 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty on the Functioning of the European Union (General Block Exemption Regulation – GBER; OJ L 187 of 26.6.2014, p. 1). The funding is therefore compatible with the internal market within the meaning of Article 107(3) of the Treaty on the Functioning of the European Union (TFEU) and exempt from the obligation to inform under Article 108(3) TFEU. In accordance with Article 1(4)(a) and (b) of the GBER, undertakings that are subject to an outstanding recovery order following a previous Commission decision declaring an aid illegal and incompatible with the internal market are ineligible for funding.

## 2. Purpose of Funding

### 2.1 Objectives of the Research Call

Based on stakeholder consultation, and in alignment with national and regional development agendas, SASSCAL identified five Research Priority Areas (RPAs) for which the SASSCAL Science Plan provides the framework for research, capacity building, product development and service provision. The following interrelated RPAs were identified:

1. **Food Security:** Sufficient and sustainable food production remains a major challenge in Africa due to limiting natural conditions and a poorly performing agricultural sector. To improve food security and the options for adaptation and mitigation efforts of decision makers, SASSCAL focuses on supporting all decision-making levels with evidence-based information to inform and improve extension services, decision making and policy frameworks. SASSCAL also enhances the development, implementation and adoption of sustainable, ecosystem-based agricultural systems such as climate-smart agriculture,

improved food systems and climate resilient farming methods. A further priority is to increase innovative adaptation and resilience building technologies/activities and approaches to higher agricultural productivity by yield increase and reduction of losses of yield both through the Improvement of agricultural weather forecast and conservation post-harvest methods.

2. **Water Security:** The sustainable management of limited water resources is a major challenge under conditions of fast rising population numbers and an increasing demand for food and energy, while ensuring the health of water and land ecosystems. SASSCAL recognises water insecurity as a multi-faceted problem largely related to climate variability and change, exacerbated by increasing demand, over-exploitation and unsustainable management of water resources. To address the multi-faceted water problem in the region, SASSCAL aims to improve the data availability and quality through monitoring and mapping of the nature and extent of the quantity and quality of regional sub-/surface water resources. SASSCAL further aims to improve the understanding of surface/subsurface interactions in changing ecosystems to support the protection of water resources. SASSCAL will support and improve integrated ecosystems- and catchment-based transboundary water resource assessment and management through research. SASSCAL also contributes to strengthen limited institutional capacities in water management and governance at national and regional level.
3. **Biodiversity Conservation:** The biodiversity of southern Africa is threatened by many natural and anthropogenic drivers, with climate change and land use pressure emerging as major threats. To contribute to the protection and restoration of natural habitats and ecosystems, SASSCAL supports the inventory, monitoring and mapping of population dynamics of the regional biodiversity that will support the analysis of the functional heterogeneity of ecosystems and the assessment of the impact of human interventions and climate variability at landscape and regional level. A strong focus is given to the enhancement of the regional understanding of the impact of climate variabilities and extremes, fire and land use management, and associated hydrological changes on biological diversity. SASSCAL also supports research on the economic valuation of ecosystem services that will enhance the understanding of the economic value to support an optimised, effective and sustainable conservation and land management.
4. **Sustainable Forests and Woodlands:** SASSCAL recognises that agricultural expansion, increasing demand for natural forest- and woodland-based ecosystems services, as well as the lack of appropriate management practices, as major challenges to conservation of forest and woodland resources. In an endeavour to improve the understanding of the extent and impact of deforestation and forest degradation in southern Africa, and to develop options to protect and restore endangered woodlands, SASSCAL supports regional forest inventory and monitoring programmes that will improve the mapping, characterisation and status assessment of woodland and forest resources for conservation purposes and for the promotion of sustainable forest management practices. Given the overutilization of woodlands, research also focuses on the understanding, assessment and promotion of socio-economic and environmental benefits derived from forest resources.
5. **Climate Service Provision:** Given the inadequacy of reliable and accessible climate data and information to adequately define climate variability and change in southern African countries, SASSCAL recognises the strengthening of the provision of climate service as a fundamental requirement to successfully implement the targeted research priorities of the Science Plan. To complement regional climate service efforts, SASSCAL activities focus on enhancing the regional availability of high-quality climate data and climate services needed to support adaptation strategies in all relevant sectors. In SASSCAL,

climate service provision goes beyond data observation and, thus, include production, translation, transfer, and use of climate knowledge and information in climate-informed decision making and climate-smart policy making and planning. Being a cross-cutting theme, the best available climate science will be effectively communicated to the agriculture, water, biodiversity and forestry sectors to enable the development of own adaptation strategies.

Within the framework of these RPAs, SASSCAL supports and manages inter-, multi- and transdisciplinary research that specifically addresses environmental/biophysical, socio-economic and institutional/management factors and drivers that are related to climate and land management change.

All research supported by SASSCAL provides scientific knowledge and benefits for improving national, regional and broader international efforts to address adaptation and mitigation strategies across the diversity of end-users. Further benefits are created through opportunities for human capital development in key areas and the provision of information to assist stakeholders in decision making.

Project proposals submitted based on this call need to clearly describe how the envisaged work will contribute to support SASSCAL's vision to strengthen the technical, institutional and human capacity in the region, to generate and use scientific knowledge products and services for decision making on climate change and adaptive land management through an innovative and focused research portfolio, regional science infrastructures, human capital development and services delivery and brokerage.

Since SASSCAL is strongly supporting collaborative research, projects should contribute to achieving the following objectives:

- scientific and applications exchange between the partner countries as well as international networking in the above prioritized thematic areas,
- advancement of female and young researchers,
- strengthening research, human and technical capacities in scientific and other partner institutions,
- consolidation of science infrastructures in the SASSCAL member countries, and
- taking SASSCAL's value proposition into account.

The funding will be available for the period 2019 to 2023. Research projects should be planned for a period of 36 month.

### 3. Recipients of Funding

Funding is provided to institutions of higher education, non-university research institutions, governmental and non-governmental organisations with research and/or capacity development needs, international research partners, commercial companies headquartered in the SASSCAL member countries (particularly small and medium-sized enterprises – SMEs), territorial authorities and associations, and any other institutions that contribute to research and comply with the purpose and prerequisites of funding.

Research institutions that receive joint basic funding from the Federal Government of Germany and the Federal States of Germany (*Bundesländer*) can only be granted project funding supplementary to their basic funding to cover additional project-related expenditure under certain preconditions.

### 4. Prerequisites for Funding

Each project proposal must be submitted by a consortium with researchers from at least two eligible institutions headquartered in SASSCAL partner-countries and at least one eligible institution

headquartered in Germany. The consortium, which can also be extended by supportive local enterprises, will jointly be conducting research in southern African countries.

Research collaboration with partners from non-SASSCAL countries are encouraged but each partner from outside of the current SASSCAL countries have to provide own funding. The following only applies to collaborative projects with German project partners: partners in a collaborative project must regulate their cooperation in a written cooperation agreement. Before a funding decision on a collaborative project is taken, the cooperation partners must prove that they have reached a basic agreement on the criteria stipulated by the BMBF.

Details on funding prerequisites are contained in the information leaflet for applicants/funding recipients on cooperation between partners in collaborative projects (Merkblatt für Antragsteller/Zuwendungsempfänger zur Zusammenarbeit der Partner von Verbundprojekten), BMBF leaflet No. 0110: [https://foerderportal.bund.de/easy/easy\\_index.php?auswahl=easy\\_formulare; Bereich BMBF under "Allgemeine Vordrucke und Vorlagen für Berichte"](https://foerderportal.bund.de/easy/easy_index.php?auswahl=easy_formulare; Bereich BMBF under \). A joint launch event and a mid-term status seminar are planned for the funding measure. The partners are expected to be willing to participate in these events. Relevant travel expenses for German and African partners should be included in cost estimates.

Eligible applicants can apply for different types of projects:

### **1. SADC Grand Challenges (SGC)**

SADC Grand Challenges address key integrated regionally relevant topics in at least three SADC countries. In this call, the integrated calls must address at least three of SASSCAL's RPAs (Food Security, Climate Services, Water Security, Biodiversity Conservation and Sustainable Forests and Woodlands). The proposals must demonstrate that effective response to climate change and other forms of environmental and social changes will benefit from addressing three or more RPA's across different national borders. These projects must bring together researchers from various disciplines working at one or more location and/or topic across the region. SADC Grand Challenges Projects will contribute to establishing new research approaches and models in a sense of integrating research towards solutions to adapt to climate and land management change. SADC Grand Challenges Projects support an improved understanding of the interaction between land management and climate protection and at the same time develop suitable methods and tools that enable the interaction between land management and climate change to be considered in the socioeconomic context of land management decisions. These projects should concentrate on action and implementation and not focus primarily on knowledge generation. They must demonstrate relevance for the key changes in SADC, for the SDGs as well as for international and national development agendas in the southern African region and the BMBF Strategy for Africa.

SADC Grand Challenges Projects emphasise specific regions in the SASSCAL countries for which model solutions are developed that can be transferred to other regions. They are driven by applied research, but may include a fundamental research component.

Applicants for integrated research projects need to form a multi-national and interdisciplinary consortium of at least 6 partners who may consist of research institutions, Governmental-/Non-

Governmental Departments and SMEs, or any other eligible research partner from at least four SASSCAL countries.

SADC Grand Challenges Projects are expected to refer to an interdisciplinary research approach integrating at least 3 of the research priority areas. They must consider regional coverage and relevance, i.e. research must be relevant for a minimum of three SASSCAL countries. They should include a clearly defined capacity development component and lead to the development of an application product or service that can be utilized by stakeholders in the region.

SADC Grand Challenges Projects range from 2 to max. 4 years and should not exceed a budget of max. € 2,000,000. The budget can address scientific and technical staff, scientific instrumentation, consumables, travel other financial requirements of a research project.

## **2. Individual Research Projects - IRP**

Individual research projects enable a group of individual researchers to conduct research projects within clearly defined topics addressing one or more of the SASSCAL research themes. With regard to the SASSCAL RPAs, the individual research projects are expected to deal with innovative and novel research approaches and methods supporting a better understanding of environmental systems that are affected by climate change and that take interacting environmental and socio-economic processes and their relevance for improving adaptation strategies into account. The individual research projects may rely strongly on fundamental and/or applied research.

Applicants for individual research projects need to form a multi-national and specialised research consortium of at least three research partners who may include research institutions, Governmental-/Non-Governmental Departments or SMEs from at least three SASSCAL countries.

Individual research projects may range from 2 to max. 3 years and should not exceed a budget of max. € 300,000. The budget can address scientific and technical staff, scientific instrumentation, consumables, travel other financial requirements of a research project.

## **3. Scientific Network Projects - SNP**

Scientific network projects offer an international research consortium the opportunity to engage in scientific exchange and cooperation on SASSCAL topics of common interest across locations. A network consists of a group of people, who, over a defined period (1-2 years), work on a common research topic to attain a specific outcome. SNPs need to address SASSCAL's RPAs.

Scientific network projects specifically address early career researchers to support them in building up networks allowing for further efforts of resource mobilisation. This may include workshops to integrate outcomes from various research projects and link these with stakeholders.

Applicants for scientific network projects need to form a multi-national and interdisciplinary consortium of at least five early career scientists from research institutions, Governmental-/Non-Governmental Departments, or SMEs, from at least three SASSCAL countries.

The applicants need to identify a relevant research topic referring to the SASSCAL research themes and to outline their approach for sustainability and possible follow-up activities.

Scientific network projects range from 1 to max. 2 years and should not exceed a budget of max. € 100,000. The budget can address cost for 1 coordinator, consumables, travel, workshop costs and other financial requirements of a network project.

#### **4. Support Projects - SP**

Support projects aim to reinforce and complement previous or ongoing SASSCAL projects with a specific user-oriented research topic that is either complementary or gap-filling. This may include the continuation of monitoring projects, data intense projects (e.g. EO product generation) and service oriented projects (knowledge provision).

Applicants for support project funding need to form a multinational and interdisciplinary consortium of at least two partners from research institutions, Governmental-/Non-Governmental Departments, and SMEs, as well as research partners funded during the first phase of SASSCAL from at least two SASSCAL countries.

Integrated research projects range from 2 to max. 3 years and should not exceed a budget of max. € 100,000. The budget can address scientific and technical staff, scientific instrumentation, consumables, travel and other requirements of a research project.

#### **5. Scientific Infrastructure Development Projects - SIDP**

Scientific Infrastructure Development Projects are targeted support activities that focus on building and/or improving scientific infrastructure such as Data and Information Systems, Scientific Instrumentation and Information Technology, laboratories or other research facilities supporting SASSCAL's research, capacity development and service provision goals. Scientific Infrastructure Development Projects have to contribute to increased scientific data and information generation in the SASSCAL RPAs and to a strengthening of the regional research capacities.

Applicants for Scientific Infrastructure Development Projects need to form a multinational and inter-institutional consortium of at least two partners from research institutions, Governmental-/Non-Governmental Departments or SMEs, from at least two SASSCAL countries.

Scientific Infrastructure Development Projects range from 2 to max. 3 years and should not exceed a budget of max. € 300,000. The budget can address scientific instrumentation, consumables and costs for installation and operation.

### **5. Type, Scope and Rates of Funding**

Funds will be awarded in the form of non-repayable project grants. Grants for commercial companies will be calculated on the basis of the eligible project-related costs, up to 50% of which can as a rule be covered by government grants, depending on the project's relevance to application. The BMBF's policy requires an appropriate own contribution of at least 50% towards the eligible costs incurred.

The calculation of the respective rate of funding must take account of the General Block Exemption Regulation (GBER). The GBER allows various additional payments for SMEs, which could in some circumstances lead to a higher rate of funding. In this context, funding is provided only for aid types set out in Article 25 of the GBER. The rates of funding and minimum thresholds set out in the GBER may not be exceeded.

The basis for calculating the grants for higher education institutions, research and science institutions and similar establishments as well as for territorial authorities and associations of such authorities is the eligible project-related expenditure (in the case of the Helmholtz Centres and the Fraunhofer-Gesellschaft (FhG), eligible project-related costs), which can receive up to 100% coverage in individual cases. In the case of research projects at higher education institutions, a flat rate grant amounting to 20% of total expenditure will be awarded in addition to the eligible expenditure.

As a rule, each institution in a SASSCAL member country that is eligible for funding can apply in various research activities but receive up to a maximum € 500,000 for a maximum period of three years.

## 6. Other Terms and Conditions

The General Auxiliary Conditions for Grants Provided for Projects on an Expenditure Basis (Allgemeine Nebenbestimmungen für Zuwendungen zur Projektförderung (ANBest-P)) and the Special Auxiliary Terms and Conditions for Funds Provided by the BMBF for the Promotion of Projects on Expenditure Basis (Besondere Nebenbestimmungen für Zuwendungen des BMBF zur Projektförderung auf Ausgabenbasis (NABF 2017)) will form part of the notification of award of grants on an expenditure basis for grantees based in Germany. The African Partners will be granted on comparable standards through the SASSCAL Regional Office in Windhoek, Namibia.

For the operation of evaluation performances according to VV number 11a § 44 BHO the grant recipients are obligated to provide all required data sets for the evaluation performance to BMBF or the assigned institution ( e.g. SASSCAL) in a timely manner. These data sets are solely used within the framework of accompanying research and the potentially follow up evaluation. Though they are treated confidentially and published into an anonymous form; it does not allow drawing conclusions on individual persons or organizations.

If project related results are published in international journals by the grant recipient an open access contribution should be provided for the public. This could be realized by publishing in open access journals. Scientific input to policy briefs and /or popular publications to be published by SASSCAL. If any article is initially published in a non-open access format, it should afterwards be provided in an open access format in an adequate period of time (period of embargo).

In the case of period of embargo the period should not exceed twelve months. Open Access second publishing of scientific monographs based on the project results are encouraged by BMBF and SASSCAL

## 7. Proposal Submission and Evaluation

### 7.1 Involvement of a project management organization, application documents, other documents and use of the electronic application system

The SASSCAL Governing Board and the BMBF have entrusted the overall coordination of the funding measure to

SASSCAL Regional Secretariat  
28 Robert Mugabe Avenue

PO Box 87292  
Windhoek, Namibia

The project management and implementation of the call will be done through:

DLR Project Management Agency (DLR-PT)  
Environment and Sustainability  
Division Climate and Nature Protection, International Cooperation  
Heinrich-Konen-Straße 1  
53227 Bonn  
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Any modifications will be announced on the SASSCAL website and in the Bundesanzeiger (Federal Gazette) as well as in another suitable form.

Forms for application as well as guidelines, information for applicants and the auxiliary terms and conditions for the award of grants are available at [https://foerderportal.bund.de/easy/easy\\_index.php?auswahl=easy\\_formulare](https://foerderportal.bund.de/easy/easy_index.php?auswahl=easy_formulare) or can be obtained directly from the project management organization.

## 7.2 One-phase Procedure

The application procedure takes place in one phase. The application has to be harmonised by the project coordinator.

Applicants for all priority topics must submit an electronic version of the completed *easy-online* form to SASSCAL via the *easy-online* application tool ([https://foerderportal.bund.de/easy/easy\\_index.php?auswahl=easy\\_formulare](https://foerderportal.bund.de/easy/easy_index.php?auswahl=easy_formulare)); including a German and English full project proposal.

**The deadline will end on 16<sup>th</sup> August 2019, 00.00 h.**

An original printout of the *easy-online* application bearing an authorized signature must be submitted by the project coordinator partner to the DLR Project Management Agency within 14 weekdays following the above date.

All application delivered after the mentioned deadline can probably not be considered.

In general, applications can either be submitted as combination of proposal submitted by the online-tool *easy-online* and signed and printed forms or as printed and signed postal version only. Applications send by e-mail or fax will not be considered.

In view of the international evaluation procedure, project descriptions must be submitted in English. They should not exceed 12 A4 pages plus a maximum of 2 additional pages per collaboration partner (11-point Arial, 1.5 spacing, 2-cm margin).

The contributions of the individual collaboration partners to the overall project should be clearly identified in the proposal. Project descriptions must be self-explanatory and allow for an immediate assessment without requiring further enquiries. They must be structured as follows:

- I. Cover page providing information about group coordination and collaboration partners as well as identification of the research topic with one of the above priority topics.
- II. Meaningful summary in English and German (goals, research priorities, translation of results).
- III. Project description:
  1. Goals of the project (overall goals, scientific and/or technical working objectives).
  2. Relevance of the project to the policy goals of the funding measure and potential synergies with existing funding.
  3. State of the art of science and technology including originality of the research approach.
  4. Previous work of the applicants and its relation to the SASSCAL Research Portfolio 1.0, the regional research and capacity needs and the thematic context.
  5. Work plan (detailed description of the work of the collaboration partners, including all scientific and technical issues relevant to the project as well as the proposed solutions).
  6. Description of capacity development measures and allocation of resources for scientific exchange within the research group.
  7. Project management and division of labour between the partners (please summarize in a table or bar graph: synergies and dependencies, assignment of the relevant work packages, cooperation with third parties and the institution SASSCAL).
  8. Concepts for utilization of results and data management.
  9. Financial plans comprising estimated expenses/costs per collaboration partner and individual item (envisaged staff, equipment, travel expenses, investments).

Project proposals that do not comply with the above structure or are otherwise incomplete will be rejected.

CVs and lists of publications (selection of up to five relevant and significant publications) as well as declarations of intent by the stakeholders/partners to participate in/support the project may be included. All other attachments cannot be considered.

All documents must be self-explanatory and allow evaluation without further information or enquiry. Within the prescribed format, applicants are free to add further information which they consider to be significant for assessing the project proposal.

There will be no legal claim resulting from handing in a proposal only. Applicants also have no legal claim to the return of their project proposals and of any other documents that they may have submitted in this phase of the procedure.

The evaluation of the received full project proposals will be organised by SASSCAL. The selection process will be on consulting and matching of selected projects within an expert panel. Final selection will be done by the SASSCAL-governing board on the basis of the ranking list provided by the expert panel.

The following selection criteria will be applied in evaluating the proposals:

***i) Relevance, excellence and innovativeness of the research (35%):***

- regionality of the proposal to address at least one of SADC grand challenges
- relevance to the objectives and priority research areas of the call
- scientific quality and originality of the research
- potential for application and innovation of the proposed research
- meeting the objectives of the guiding policies for this call

***ii) Regional Integration and multi-, inter- and transdisciplinary (25%)***

- relevance and suitability of the selected regions as a scientific focus
- cross-disciplinary and cross-sectoral approach (interdisciplinary dimension)
- quality of participation by decision makers, users, stakeholders and others (transdisciplinary dimension)

***iii) Human and technical capacity building (20%)***

- contribution to the development of research and training capacities
- linkage to existing initiatives at the partner institutions or in the SASSCAL countries
- meeting regional capacity development needs

***iv) Implementation and utilization of results (20%)***

- quality and appropriateness of the expected work, time and resources required, quality of the work plan
- effectiveness and efficiency of the proposed organization and management of the collaboration / adequateness of research collaboration structures and financial planning
- excellence of the applicants (profile and performance of the partners involved)
- anticipated knowledge gain and potential for knowledge transfer
- utilization of results in scientific, societal, economic and political perspectives (e.g. initiatives, services, products, technologies)

Suitable projects will be selected for funding on the basis of the above criteria of evaluation. The project management will inform the project coordinator in writing about the result of the selection. Suggestions and further requirements evolving from the evaluation of the proposals will be communicated and subject for negotiation and consideration in the contracts.

BMBF reserves the right to involve additional experts for the final decision for funding.

### 7.3 Provisions to be Observed

Questions concerning the approval and payment of and accounting for funds, as well as proof and examination of proper use and, if necessary, revocation of the award and reclaiming of the funds awarded are governed by the administrative regulations pertaining to section 23 and 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. According to section 91 the Federal Budget Code (BHO) is entitled to conduct auditing.

### 8. Entry into Force

These funding regulations will enter into force on the day following simultaneous publication on the SASSCAL-website ([www.sasscal.org](http://www.sasscal.org)) and in the Federal Gazette (Bundesanzeiger) and will be valid until 31.12.2030 (respectively the German version).

Windhoek, 25<sup>th</sup> March 2019

On behalf of

SASSCAL – Southern African Science Centre for Climate Change and Adaptive Land Management

**Dr. Jane M. Olwoch**

Executive Director

Bonn, 25<sup>th</sup> March 2019

On behalf of

Federal Ministry of Education and Research

**Prof. Dr. Rene Haak**

Head of Global Change Division