



SPLASH TRANSNATIONAL CALL ON SUSTAINABLE SANITATION SERVICE CHAINS

Call Applicant's Guide

March 1, 2010

<http://splash-era.net>

Funded by EC framework program

Table of contents

1	Introduction	1
2	SPLASH.....	1
2.1	SPLASH objectives and activities.....	1
2.2	SPLASH call funders	1
3	Call process	2
4	Call information	2
4.1	General information	2
4.2	Topic areas for research proposals.....	3
5	Eligibility for funding.....	7
5.1	Eligibility criteria	7
6	Submission, Evaluation and Selection of Proposals	8
6.1	Application process.....	8
6.2	Evaluation and selection process	8
7	Contracts.....	14
7.1	Contractual relationships	14
7.2	Funding Contract	14
7.3	Consortium Agreement.....	15
7.4	Project commencement	16
7.5	Progress monitoring, reporting requirements and approval of deliverables	16
7.6	Ownership of Intellectual Property Rights and Use and access to results	16
7.7	Dissemination requirements	17
	Annex 1: Guidelines for the completion of the concept note.....	18
	Annex 2: SPLASH guidance on good research practice and management	28

1 Introduction

SPLASH, the ERA-NET of the European Water Initiative is launching a research call on 1st March 2010, with a total budget of approximately 1.9 Mio Euro. This document is intended to guide applicants through the application process of the SPLASH call. Further information on the call (including downloadable file of the application form) can be found under www.splash-era.net/sanitation_call

2 SPLASH

2.1 SPLASH objectives and activities

SPLASH is the name of the European Union Water Initiative Research Area Network (EUWI ERA-net). It is a consortium of 16 ministries, funding agencies and national research and technological development authorities from 11 European countries. The consortium is funded by the European Commission's 6th Framework Programme for Research and Technological Development.

SPLASH aims to improve water research for poverty reduction and thus to contribute to achieving the Millennium Development Goals. Effective water research can play an important role in supporting developing nations to meet the challenge of providing poor people with access to safe water supplies and improved sanitation. Previous research in the water sector has generally been programmed and managed in isolation by different donors such that overlap and duplication has occurred, and specific gaps and issues may not have been addressed.

Among other activities, SPLASH will design collaborative research programmes, responding to identified needs. One of the goals of the ERA-NET scheme under the 6th Framework Programme is to encourage Member States (and associated countries) to jointly design, fund and launch research calls. These joint activities contribute to the pooling of resources in the European Research Area and also aim at fostering collaborative European research.

Call funders will pool financial resources of approximately 1.9 Mio Euro for a transnational call on "Sustainable sanitation service chains".

2.2 SPLASH call funders

The following organisations are funding the transnational call on sustainable sanitation service chains:

- Austria Development Cooperation (ADC), Austria
- Department for International Development (DFID), United Kingdom
- Ministère des Affaires étrangères et européennes (MAEE), France
- Swedish International Development Cooperation Agency (Sida), Sweden
- Swiss Agency for Development and Cooperation (SDC), Switzerland

3 Call process

Below is a timeline of the call process. You will find more detailed information on the different stages of the call process later in this document.

Activities	Timeline
Call published on SPLASH website	March 1, 2010
↓	
Online applications of concept notes received	April 23, 2010
↓	
Evaluation and selection of concept notes	May 31, 2010
↓	
Invitation to submit full proposal	June 1, 2010
↓	
Online applications of full proposals received	August 15, 2010
↓	
Peer Review process of full proposals completed	September 30, 2010
↓	
Selection of full proposals completed	October 30, 2010
↓	
Award Letter sent to successful consortia	November 1, 2010
↓	
Funding Contract and Consortium Agreement signed	December 31, 2010
↓	
Begin of projects	January 1, 2011

4 Call information

4.1 General information

The SPLASH call on sanitation service chains will have a budget of approximately 1.9 Mio Euro. The call will be based on a "real common pot" model. This model implies that the call funders will pool their funding and administer it centrally. The Swiss Agency for Development and Cooperation will act as Call Secretariat until end of 2010. Subsequently, the call administration will be contracted to a management organization.

The research projects commissioned by the SPLASH call on sanitation service chains will be limited to 36 months in duration. Transnational research consortia can apply for a total SPLASH research contribution in the range of 250'000 – 500'000 Euro.

The SPLASH call will support demand-led research. Key features of good management of demand-led research include comprehensive stakeholder interaction, enhanced capacities of researchers in the South and measures to ensure maximum uptake of research findings.

4.2 Topic areas for research proposals

Background

2.5 billion people, or 40% of the world's population, do not have access to improved sanitation, including 1.2 billion who have no facilities at all. Sanitation is one of the most off-track of the 2015 Millennium Development Goal (MDG) targets; at current rates of progress, this would not be achieved in sub-Saharan Africa until approximately 2070. Currently, the global population is growing at some 70 million people per year, mostly in low-income countries. In these countries, growth over the next decades will be concentrated in urban areas: by 2020, 50 percent of the developing world's population will be urban, with most living in small and medium-sized towns and many of these being low-income households¹. Rapid urban growth means that more than half of the additional increase in services must be in urban areas, despite their higher current levels of coverage². There is a global recognition that urban poor groups in low-income areas are severely hit by water supply and sanitation problems; more specifically, urban sanitation lags behind water provision, both in delivery of infrastructure and allocations in national budgets. Sub-Saharan Africa has the highest proportion of people without access to water and sanitation³.

In Sub-Saharan Africa, the rates of urbanization have generally exceeded the capacities of national and local governments to plan and manage water supply and sanitation systems in an efficient, equitable and sustainable way. Unserved or poorly-served informal settlements continue to proliferate. These settlements present unique problems. Residents of informal urban areas often do not have legal land tenure, and, in most cases, the site itself has not been legally urbanized. Therefore, governments generally do not recognize the legality of these settlements. As a consequence, they are usually excluded from official statistics on housing and basic services, and municipalities and utility companies face acute problems in extending services to them. The poor comprise the majority of potential new dwellers in most urbanizing cities, and sanitation systems need to be designed with the particular needs of these low-income groups in mind.

Improving sanitation services to the urban poor is an urgent priority that can have major positive impacts on health, economic productivity and the environment. This requires investment in local capacity development, improved operation and maintenance as well as in new infrastructure.

¹ Cross, P. and Morel A., 2005: Pro-poor strategies for urban water and sanitation delivery in Africa. *Water Science and Technology*, Vol 51 No 8 pp 51-57

² UN-Habitat, 2008: Review of existing concepts of water governance and an analysis of pro-poor approaches in UN-Habitat interventions.

³ UNICEF, WHO, Joint Monitoring Programme, 2008 : Progress on drinking water and sanitation

Aim and thematic focus of the call

The major objective of the SPLASH call is to contribute to the *understanding and implementation at scale of sustainable sanitation service chains in low-income urban areas in Sub-Saharan Africa*.

The call uses the following definitions:

- *Sanitation* refers to the safe collection, storage, treatment and disposal/re-use/ recycling of human excreta (faeces and urine); and the drainage and disposal/ re-use/ recycling of household wastewater (often referred to as sullage or grey water)
- The term sanitation *service chain* is used to emphasize the importance of the entirety of the sanitation system, from toilet construction, to collection, transport, treatment and disposal of the waste products. Only if the different components of the sanitation service chain are linked and functioning effectively can they form a working and durable service delivery system. To be sustainable, a sanitation service system has to meet the following criteria: it should be economically viable, socially and culturally acceptable, sensitive to the needs of vulnerable groups, technically and institutionally appropriate and it should protect the environment and the natural resources^{4 5}. Using these criteria in a strict sense, few (if any) sanitation service chains are fully sustainable. However, these concepts of sustainability provide a direction and an objective against which existing and planned sanitation systems can be appraised and evaluated.
- *Low-income urban areas*
The main criteria for the definition of the term *low-income urban areas* in the SPLASH call are population density and social and economic factors of the settlements. As such, the term “low-income urban areas” addresses a broad range of settings and structures: it embraces informal urban clusters, low-income peri-urban settlements, squatter camps on municipal fringes, planned low-income areas in cities and unplanned low-income settlements (slums). This broad definition takes into account the fact that many settlements that have traditionally been categorized as rural are now showing increasingly urban characteristics.

Urban sanitation service chains in low-income urban areas in developing countries depend mostly on on-site systems. In general, centralized sewerage networks do not exist beyond the central areas of a city, are too expensive to construct, operate and maintain, and may not be appropriate due to water scarcity. As such, on-site systems form the main focus of the present SPLASH call for research proposals. However, depending on the urban context and the diversity of the studied perimeter, decentralised and small-scale systems incorporating localized networked sewerage if appropriate for the given situation, can also be addressed in a proposal.

Proposals to be submitted under the SPLASH call should focus on investigation of the sanitation service chain in urban areas in Sub-Saharan Africa. They may consider both working and dysfunctional systems, by investigating and evaluating key factors for success or failure of a system.

⁴ Sustainable Sanitation Alliance (SuSanA), 2008: Towards more sustainable sanitation solutions

⁵ “A focus on gender differences is of particular importance with regard to hygiene and sanitation initiatives, and gender-balanced approaches should be encouraged in plans and structures for implementation. Access to adequate and sanitary latrines is a matter of security, privacy, and human dignity, particularly for women. However, even in places with adequate latrine coverage, the availability of sanitation facilities does not necessarily translate into effective use, because of taboos, culture norms and beliefs.” UNDP & GWA, *Resource Guide: Mainstreaming Gender in Water Management* 2006, p.48; <http://www.genderandwater.org/page/2414>

In particular, proposals should address three main issues:

- *Service Providers*

Sanitation systems in low-income urban areas in Sub-Saharan Africa are often characterized by the neglect or the absence of the public sector. Where public services exist, they can often not cover the full demand. As a consequence, a range of non-government service providers fill the gap and offer sanitation services to private customers. Service providers range from small-scale, informal entrepreneurs, NGOs, to larger private companies. Customers may be landlords, tenants or users of a shared toilet facility, to name just a few. These private sanitation transactions are often taking place with limited or no oversight of the public authorities. The challenge for policymakers is to provide a regulatory framework that encourages and supports private initiative in the provision of sanitation services while at the same time ensuring that certain standards for public health and environment are being met. In addition, such a regulatory framework will also have to make sure that poor people with limited ability to pay for private sanitation services are able to access to the services. There are a number of aspects of non-government service providers that are relevant, for example: the nature, the roles and the interactions of the public and the private sectors and their mechanisms in urban sanitation; incentive structures for non-government initiatives in sanitation service provision.

- *Sanitation market and financial flows*

Most public financing in sanitation goes to already served areas or newly planned centralized systems and by-passes the urban poor. As a result, self-financing is a common way by which urban poor finance improved sanitation. The creation of effective sanitation service chains depends on a diversity of sanitation transactions between different service providers and their customers. This sanitation market and the financial flows in urban sanitation service chains are at present poorly understood. The existence of subsidies adds to the complexity of the problem. Some of the inherent challenges in subsidy-schemes are to make them targeted, sustainable, transparent and oriented towards the poor. More specifically related to sanitation service chains, subsidies must be designed in a way that they promote the overall objectives of sanitation as described above, do not distort the market, stimulate innovation and include operation and longer-term management of the whole chain. Understanding the sanitation market (including ability and willingness to pay, the price of services, financial flows, etc.) is thus a prerequisite to develop models for pro-poor urban sanitation service chains. This understanding of the sanitation market also needs to cover non-poor clients, if cross-subsidies for sanitation systems towards the urban poor should be raised through taxation of non-poor customers. In the described context there are many aspects of the "sanitation market" and financing that are relevant and need further research, for example: understanding and quantifying the financial flows in urban sanitation service chains; understanding how the poor participate in urban sanitation markets; pro-poor financing mechanisms; understanding the role of subsidies in urban sanitation service chains.

- *Governance*

National and local governments bear responsibility for appropriate policy and regulatory frameworks in relation to pro-poor urban sanitation. This includes ensuring the satisfactory legal framework and technical development of sustainable sanitation service chains, and related supporting issues such as awareness raising, demand generation, hygiene promotion, demand-led and participatory planning processes which are sensitive to the needs of vulnerable groups, etc. The overall regulatory framework must provide the enabling environment for the implementation of sustainable sanitation service chains. More specifically, the framework should allow for financing and cost recovery mechanisms ensuring that investments lead to sustainable

service delivery, (including operation and maintenance) that are acceptable and affordable to the poor. Sex-disaggregated data and the documentation of paid and unpaid labour in relation to water use, hygiene needs and domestic work are important as basis for policy decisions. Research has an important role to play to contribute to more evidence-based policy making through understanding how policies are formulated and translated into operational practice. This includes the role of policies and regulatory frameworks in shaping sustainable sanitation service chains and the analysis and formulation of key factors of an enabling environment for pro-poor urban sanitation..

The three issues as outlined above are all interlinked and together cover institutional, financial, governance, social and technical aspects. They should not be tackled in isolation, instead research proposals are expected to address them jointly in a multi-disciplinary approach. Depending on the studied context or case study, the relative importance of the three issues and the primary focus of the investigation will be different. If pertinent, additional issues and questions regarding the implementation of sustainable sanitation service chains in urban areas can be dealt with in research proposals.

The focus of the SPLASH call is *not* on technology itself. Technological aspects are important for the description of appropriate technological components and options that together form a sustainable sanitation service chain. But it is expected that a sanitation service chain under investigation in a research proposal will be composed of technological components that are already known⁶. Rather than on technology, the call emphasises on the understanding and the creation of an enabling environment that allow for the large-scale implementation of sustainable sanitation service chains for the urban poor in Sub-Saharan Africa. Such an enabling environment for the implementation of a sanitation service system must be accompanied by and embedded in supporting activities such as awareness rising, demand generation, hygiene promotion and participatory planning processes. Vulnerable groups, including women, the elderly and socially disadvantaged play a crucial role in using and improving sanitation systems and their needs and perceptions have to be specifically addressed in any research approach. An analysis that considers these aspects (differences, inequalities, power imbalances, differential access to resources, etc.) needs to be integrated in the research.⁷ In addition, given the rise of the number of child-headed households due to the HIV/AIDS pandemic, the voice of children – girls and boys – need to be included in the design. For the purpose of the SPLASH call, these supporting activities are understood as integral parts of sanitation service chains and they should be adequately addressed in a concept note or proposal.

Type of activities to be funded

The following types of activities can be funded under the SPLASH call:

- Case studies of working and dysfunctional sanitation service chains in Sub-Saharan Africa
- Implementation and study of new small pilots of sanitation service chains
- Networking activities
- Meta-analysis studies which are using existing data sets from different locations as raw material from which more powerful conclusions can be drawn compared to the single data set.
- Capacity development in sanitation research
- Dissemination and research into use

⁶ for example as described in: Tilley et al, 2008: Compendium of Sanitation Systems and Technologies

⁷ See UNDP & GWA, *Resource Guide: Mainstreaming Gender in Water Management* 2006,

Expected results

Depending on the research themes addressed, project results should contribute to:

- understand sustainable sanitation service chains in urban areas from a financial, social (incorporating culture and the needs of vulnerable groups), institutional and technical point of view;
- determine key success factors (description of the enabling environment) and barriers for the implementation of sanitation service chains for urban people living in poverty;
- identify good practice for efficient implementation of sanitation service chains for urban people living in poverty;
- formulate evidence-based policy recommendations and institutional arrangements to support sustainable sanitation systems for urban people living in poverty;
- further large-scale implementation of sustainable sanitation service chains in poor urban areas.

Although the focus of the SPLASH call is on sustainable sanitation service chains for the urban poor in Sub-Saharan Africa, it is hoped that research projects can also develop some generic recommendations for the implementation of sustainable sanitation service chains which are also valid in both rural areas and/or other regions of the developing world.

5 Eligibility for funding

5.1 Eligibility criteria

Each research consortium must be transnational and consist of a minimum of 3 independent legal entities. At least 2 consortium partners must be from one or more African countries and at least 1 consortium partner must be from an European country⁸. The inclusion of more partners from European countries is welcomed.

Eligible participants entitled to funding are legal entities like research institutes, universities, private companies including SMEs, public administrations, civil society organisations, and non-governmental organisations legally registered in countries of Africa and Europe. Eligible costs encompass: Staff costs (salaries), Travel and Subsistence, Equipment Costs, Consumables, Overheads and Audit costs. A substantial amount of the total budget required by each consortium must be allocated to the partners from developing countries (at least 50% of the budget). Matching funds and in-kind contributions of the consortium partners are not mandatory, but are encouraged and will be assessed positively.

⁸ European countries encompass the member States of EU- 27, plus all countries that are associated to the 7th EU Framework Programme (namely: Albania, Bosnia & Herzegovina, Croatia, Iceland, Israel, Liechtenstein, Macedonia, Montenegro, Norway, Serbia, Switzerland, and Turkey).

6 Submission, Evaluation and Selection of Proposals

6.1 Application process

The SPLASH call will employ a two stage application process:

1. Submission of a concept note, encompassing:
 - Information about the different applying organisations
 - Brief project description (objectives, relevance)
 - Outline of project design (workplan, activities, monitoring)
 - Quality and organization of the consortium, Southern involvement
 - Applicability of the results in practice, potential impact, dissemination strategy
 - Indicative budget per activities and per partners

A template with further instructions for the completion for the concept note is available on the SPLASH website and is provided as Annex 1 of this document. Annex 2 provides guidance on good research practice and management and on effective North-South research partnerships.

2. Submission of a full proposal, encompassing:
 - Details of lead organization and of all partners
 - Detailed project description (objectives, relevance – including the specific knowledge gap to be addressed and any relationships to previous research)
 - Detailed project design (workplan, activities, monitoring)
 - Quality and organisation of the consortium, Southern involvement
 - Applicability of the results in practice, potential impact and dissemination, including detailed plans for stakeholder engagement and involvement throughout the research process, and plans for publications and attendance of conferences
 - Logical framework of the project
 - Detailed Budget per activities, per partners and over time

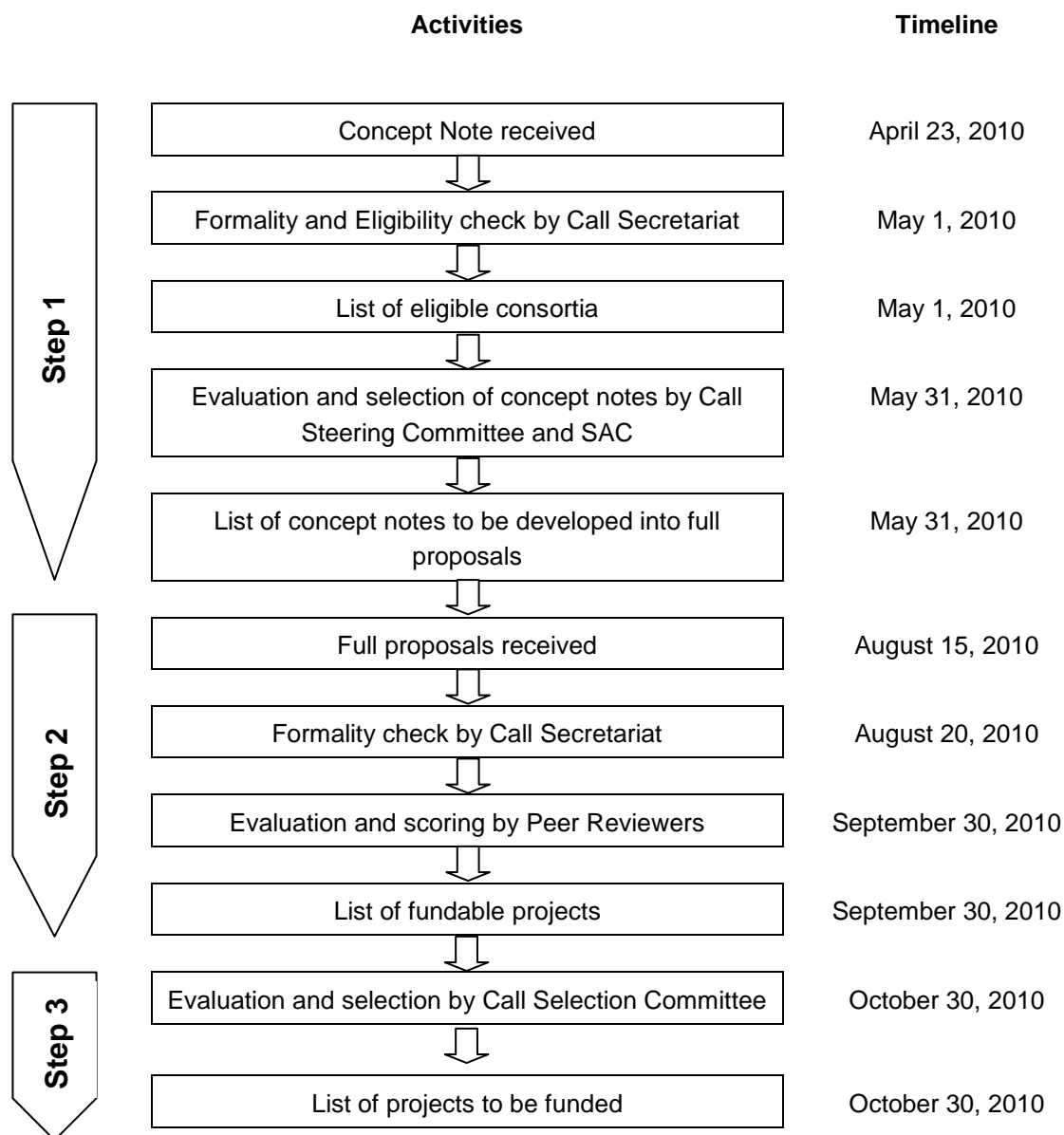
A template of the full proposal will be available on the SPLASH website in due course.

6.2 Evaluation and selection process

The evaluation process consists of three steps:

1. Peer review process of the concept notes
 - Formality and eligibility check by Call Secretariat
 - Evaluation of concept notes by a pool of experts (SPLASH Scientific Advisory Council (SAC) and additional independent experts), according to predefined criteria and scoring table (see below)
 - Call Steering Committee (formed by representatives of the funders) selects the concept notes with the highest scores, that are subsequently to be developed into full proposals
2. Scientific peer review process of the full proposals
 - Evaluation of each full proposal by three independent scientific reviewers from the pool of experts according to predefined criteria and scoring table (see below)
 - Proposals above the scoring threshold value will go to the next step
3. Selection of the projects to be funded by a Selection Committee of international science and development experts, nominated by the call funders.

The following flowchart shows the different activities and the timeline of the evaluation and selection process. The different steps are described in more detail in the text below.



Step 1: Evaluation and selection of concept notes

The Call Secretariat will conduct a formality and eligibility check for compliance with the following criteria: Meeting the deadline, number of participants and their place of employment, staying within budget scope and guidance, addressing the research themes as described in the call text, and eligibility of the participants. This check will be done to confirm that the concept notes are eligible for further evaluation.

Each eligible concept note will then be evaluated in a peer-review process by at least two independent evaluators. A pool of potential reviewers will be established before the start of the evaluation process, but final selection of reviewers will not be made until the applications have been received. The pool of evaluators will be formed from sanitation experts of the SPLASH Scientific Advisory Council (SAC) and additional scientific experts, nominated by the call funders.

The Call Steering Committee shall ensure that the reviewers are independent experts with the skills and knowledge appropriate to the tasks assigned to them, and are not faced with conflict of interests on the matter on which they are asked to give opinion. The reviewers will be required to sign a declaration of confidentiality and 'no conflict of interest' at the time of their appointment. Reviewers will be chosen from the pool based on their specific knowledge of the topic areas covered by the applications, and may represent both the scientific and user community.

Peer review will be carried out remotely to ensure that independent views are anonymously obtained. Reviewers will be provided with guidance and will use an evaluation model based on given criteria and a specified scoring matrix (same matrix as specified for step 2, see below). Each peer reviewer will produce a textual report for each of the evaluation criteria, a score for each criterion, and a total score for each proposal.

The Call Secretariat will compile the evaluation results and provide a ranking list of the concept notes, based on the total score (average of the two peer-reviews) achieved in the evaluation.

The Call Steering Committee, formed by one representative of each funder, will select a maximum of 15 concept notes (shortlist) to be developed into full proposals, based on the ranking order of the scoring and the comments of the evaluators. If the evaluation of the two independent evaluators is not consistent for a concept note the final ranking decision is at the discretion of the Call Steering Committee.

Step 2: Evaluation of full proposals

The Call Secretariat will again perform the same formality and eligibility check for the full proposals as already done for the concept notes. All eligible full proposals will then go again to a peer review process for full proposals. This process is almost identical with the abovementioned peer-review process for concept notes, with the exception that each full proposal will be evaluated by three independent evaluators and that the more detailed project information allows for a more detailed assessment.

The peer-review evaluation process for full proposals will be done by the same pool of experts that were already involved in the peer-review process of the concept notes. But the Call Secretariat will ensure that the evaluators of a given full proposal are different from the evaluators of the corresponding concept note.

The peer review process for full proposals will provide an opportunity for the reviewers to ask for clarification of parts of the proposal if necessary, facilitated by the Call Secretariat.

The evaluation will be conducted based on the following table:

Evaluation Criterion	Judgment based upon	Scoring
Criteria 1. Scientific and technological excellence and degree of innovation	Quality of project objectives and their alignment with the objectives of the call. Scientific methodology, scoping study and progress beyond the current state-of-the-art knowledge	5 points
Criteria 2. Project design	Work schedule. Appropriate project planning tools for monitoring both management and research activities including key milestones and dates that they are expected to be achieved. Risks and assumptions that are likely to affect project implementation and achievement of the outputs and how they are planned to be managed. Stakeholder analysis, with indicative cooperation structure and strategy sensitive to the needs of vulnerable groups.	5 points
Criteria 3. Quality and organization of the consortium, Southern involvement	Project coordination and management strategy and previous management experience of the coordinator. Quality of the consortium, interdisciplinarity including diversity of scientific disciplines and the synergies between the partners bringing added value by working together and towards achieving the MDGs in target countries. Roles and responsibilities of Southern partners in the consortium, sharing of responsibilities between the partners.	5 points
Criteria 4. Applicability of the results in practice, potential impact and dissemination	Potential impact and outcomes of the project and its outputs on the target groups, contribution to achievement of MDG's and potential of international cooperation beyond the project. Quality of the plan for implementing and evaluating the dissemination and exploitation of the expected project outputs and the knowledge generated by the project.	5 points
Criteria 5. Cost effectiveness	Cost of the proposal set against its significance, and scientific excellence. Value for the money to be invested.	5 points

Each of the criteria above will be subject to evaluation on a scale of 1 to 5, where a score of 1 indicates an unacceptable response and 5 an excellent one. Definitions of each level are given in the table below. Peer Reviewers will be provided with evaluation guidance, and a feedback sheet wherein they will be asked to record feedback commentary, and to summarise their evaluation in a score for each criterion. The threshold score is set to 3 (fair) for each criterion. Full proposals meeting or exceeding the threshold score in each criterion will be considered as "fundable" and go to final step (step 3) of the evaluation. Proposals failing to achieve the threshold score in one or more of the criteria should be considered as "not fundable". If the evaluation of the three independent evaluators is not consistent, the decision to go to the final step is at the discretion of the Call Steering Committee.

Score	Excellence and degree of innovation	Project design	Quality of the consortium, Southern involvement	Applicability, impact, dissemination	Cost effectiveness
(5) Excellent	Exceptional scientific merit and originality, expected to have major scientific impact, top 5%.	Organisational structure matches perfectly to the complexity of the project. Appropriate planning tools are used. Integration of work is ensured. Project management is of high quality. Comprehensive stakeholder analysis, and development of cooperation structure and strategy outlined which are sensitive to the needs of vulnerable groups.	High quality consortium with excellent complementarity, well suited to the tasks envisaged. Strong involvement of Southern partners as consortium or workpackage leaders. Inclusive working mechanisms are demonstrated.	Outputs designed with programme and project objectives in mind and are tailored to audiences, for appropriate content, format and delivery mechanisms, with clear routes to application. Dissemination plan proactively identifies and addresses all target audiences, some of whom are part of the consortium. Includes plans for effective communication of research by intermediary organizations. Plan for monitoring and evaluation of impacts and outcomes, and dissemination effectiveness.	Excellent value for money. A significant part of the cost (>20%) is borne by third party funding or in kind input, with evidence of this commitment provided
(4) Good	At the forefront of the field, will advance understanding – top 25%.	Organisational structure well matched to the complexity of the project. Appropriate planning tools are used. Integration of work is ensured. Project management is of high quality. Stakeholder identification and engagement plan outlined sensitive to the needs of vulnerable groups.	Good quality consortium with some complementarity, Suited to the tasks envisaged. Strong involvement of Southern partners.	Outputs designed with programme and project objectives in mind. Dissemination plan proactively identifies and addresses all target audiences.	Very good value for money. Some of the project cost is borne by third party funding or in-kind input.

(3) Fair	Competitive science – top 50%.	Management proposal is generally good but lacks quality in one aspect (structure, planning, integration, PM quality). Limited stakeholder identification and engagement is included. An awareness of vulnerable groups is demonstrated.	Consortium able to deliver the work, but some minor lack of complementarity. Moderate involvement of Southern partners.	Outputs focused towards scientific audience only. Dissemination plan partially identifies and addresses target audiences.	Good value for money but no third party funding or in-kind input
(2) Poor	Fair quality science but not leading edge, modest advance.	Management of project is mostly adequate, but lacking in some aspects (structure, planning, integration, PM quality). Poor stakeholder identification and engagement included.	Consortium lacking in significant areas which may impair progress on aspects of the project. Minor involvement of Southern partners.	Outputs and dissemination plan directed towards scientific /technical audiences only.	Fair value for money with no third party input.
(1) Very poor	Limited new knowledge, does not advance the field significantly, science flawed or duplicates existing knowledge.	Management of project is significantly lacking in a number of areas (structure, planning, integration, PM quality). No stakeholder engagement is foreseen.	Unlikely to deliver. No responsibilities of Southern partners.	Outputs unclear / No dissemination plan given.	Poor value for money, unacceptably high costs for the work proposed.

Step 3: Selection of full proposals that passed the threshold value

All the full proposals that meet or are above the threshold score in each criterion will go to a Selection Committee of 6 persons, representing international experts in science and development. The Selection Committee members are nominated by the call funders (each call funder to nominate one member of the Selection Committee, the majority of the Selection Committee members will be from developing countries).

The Selection Committee will aim to create a balanced portfolio of projects, taking into account the objectives of the call, the quality of the proposals, the advice from the evaluators and the availability of funding. The Selection Committee will take the final decisions on project selection and communicate it to the Call Steering Committee and the Call Secretariat. The Call Steering Committee will formally approve the decision of the Selection Committee and advise the Call Secretariat to start the contracting process.

7 Contracts

7.1 Contractual relationships

Three mechanisms are available to ensure that the research consortia funded under the SPLASH call work effectively together:

- The SPLASH Call Cooperation Agreement (between the funders)
- The Funding Contract (between Call Secretariat and research coordinator)
- The Consortium Agreement (between researchers)

7.2 Funding Contract

The SPLASH call makes use of a “real common pot” funding model. This implies that the funders will pool their financial contributions and administer them centrally through the Call Secretariat. The research consortium (represented by the Research Coordinator) will thus have to enter into a funding contract with the organisation that is hosting the Call Secretariat.

Each project includes several consortium members called Research Partners and one Research Coordinator. Changes to the composition of research consortia or in budgets should not occur during the contract. If a partner drops out of the consortium, the problem has to be solved by the consortium in line with the Consortium Agreement. The Call Secretariat must be kept informed of such events. Furthermore, the Research Coordinator shall inform the Call Secretariat of any event which might affect the implementation of the project.

A two component structure will be used for SPLASH funding contracts:

Component 1

This will contain the technical content of the project (Project Description). It will be written in English to ensure that no inconsistency is introduced by translation. It will be derived from the application and will include:

- A detailed description of the work in the project, including the summary costs for each research partner;
- A list of research partners and description of the role of each partner. This will include the nomination of the Research Coordinator of the consortium and a description of the role of the Research Coordinator;
- A project schedule showing the timescales for each work package, and timing of deliverables;
- A list of project deliverables with content description of each deliverable;

Component 2

This will contain SPLASH common call conditions (“Common Conditions”) that will be identical in all contracts let under the SPLASH call. It will be written in English and will include:

- A generic definition of the role of SPLASH Network, the Call Steering Committee and Call Secretariat for the SPLASH call.
- A requirement for all researchers to sign a consortium agreement to bring the funding contracts into effect.

- Definition of the commencement date and duration of the funding contracts
- Progress monitoring, reporting requirements and the mechanics for approval of deliverables.
- SPLASH payment conditions, including the conditions under which the final 20% payment will be released.
- Conditions of ownership of results, intellectual property rights and utilisation of results.
- Requirements for the format of deliverables.
- Dissemination requirements.

7.3 Consortium Agreement

Participants in successful research consortia will be required to enter into a Consortium Agreement to ensure that the working relationships, responsibilities, and IPR provisions are resolved between the researchers before work commences. The purpose of this document will be:

- to underpin the researchers collaboration, and provide the researchers with mutual assurance on project management structures and procedures, and their rights and obligations towards one another, and;
- to assure the funders that the consortia have a satisfactory decision making capability and are able to work together in a synergistic manner.

The following subjects (as a minimum) should be addressed by the Consortium Agreement:

- purpose and definitions;
- organisation and management of the project, including a mechanism to assure quality of research methods and outputs;
- nomination of the coordinator of the research consortium and description of the role of the coordinator;
- research partners : persons in charge, role & key tasks, and conditions for their change;
- management of production of transnational deliverables;
- obligations and responsibilities of the research partners;
- resources and funding;
- confidentiality and publishing;
- intellectual property rights (how this will be handled between the partners);
- decision making within the consortium;
- handling of internal disputes;
- the liabilities of the partners towards one another (including the handling of default of contract);
- the role of the consortium agreement in accession to the contract.

The Research Coordinator of the consortium must send a copy of the signed Consortium Agreement to the Call Secretariat. The Funding Contract will come into force only once the Call Secretariat has received the signed research Consortium Agreement.

The Consortium Agreement should be signed within 45 days of the Funding Contract being offered (which is usually the formal offer letter for funding). If this does not occur the Call Steering Committee may, at its discretion, withdraw the funding offer.

7.4 Project commencement

The Call Steering Committee shall agree a Commencement Date for the project which will apply to all contracting researchers in respect of that particular project, and shall be stated in the Funding Contract or covering award letter.

The Funding Contract will come into effect on the date upon which the Call Secretariat has received the signed Consortium Agreement from the Research Coordinator. The contract shall then apply from the commencement date specified in the award letter. If the Commencement Date precedes the date when the Funding Contract will come into force, then in the interim period, researchers may commence work on the project at their own risk until such a time as the Consortium Agreement is received by the Call Secretariat. Once the Funding Contract comes into effect, eligible costs may be claimed back to the agreed project start date.

7.5 Progress monitoring, reporting requirements and approval of deliverables

SPLASH will contract a Management Organisation to act as Call Secretariat from 2011 onwards.

Research Coordinators and Research Partners in projects under the SPASH call will need to fulfill specified reporting requirements. Research Coordinators must report progress on the project on a bi-annual or annual basis (both in activity reports and financial reports) to the Call Steering Committee, submitting their reports via the Call Secretariat. An audited cost statement is needed on an annual basis. The research partners are jointly responsible for delivery of the work, and the Call Steering Committee will only accept reports delivered on behalf of the consortium, via the Research Coordinator.

A template for the structure of activity and financial reports will be provided by SPLASH. Project reports must be produced in English or French, and may be produced in other languages at the researcher's discretion and cost.

The Call Secretariat will review all activity and financial reports and will ask for their approval by the Call Steering Committee before the next payments are disbursed.

7.6 Ownership of Intellectual Property Rights and Use and access to results

Results and new intellectual property rights resulting from projects funded through the SPLASH call will be owned by the researchers. Researchers will be expected to make available either free of charge or for fair and reasonable royalties the intellectual property rights created in the project. Where several participants have jointly carried out work generating new intellectual property rights, they shall agree amongst themselves the allocation of knowledge ownership, taking into account the Funding contract and Consortium Agreement into which they have entered and any restrictions implied through state aid rules and requirements.

7.7 Dissemination requirements

Project reports and summaries must be produced in English or French (if French with an abstract in English), and may be produced in other languages at the researchers' discretion.

Participants in projects funded under the call will be expected to proactively promote the knowledge resulting from the work undertaken, in both academic and policy fora, as well as with beneficiaries and end users. This should occur during the period of the project (in which case funds from the call can be used).

Annex 1: Guidelines for the completion of the concept note

Applicant's Guidelines and Application Form

This document includes **Guidelines for Completion of the Application Form** of the concept note and the **Application Form** of the concept note itself.

One single application form completed by the Research Coordinator on behalf of the whole consortium is required for each project. The application form and any other relevant documents (such as CV's) should be completed in English or French and submitted electronically by the Research Coordinator to the Call Secretariat. Signed pages must be scanned and submitted electronically.

The Call Secretariat will be the primary point of contact for the application process. Applications will be accepted only on the application form available from the call website.

The **Research Coordinator** will be the primary point of contact between research consortia and the Call Secretariat. The results of the evaluation will be sent to the Research Coordinator.

Application forms should be sent to the Call Secretariat before April 23, 2010, 13:00 (CET) to the following address:

manfred.kaufmann@deza.admin.ch

Contact at the Call Secretariat:

Manfred Kaufmann

Swiss Agency for Development and Cooperation

CH-3003 Bern

Tel. +41 (0)31 322 03 66

When applicants discover errors, applications may be corrected by resubmission. However, resubmissions will only be accepted up to the closing date of the call. After closure of the call, the Call Secretariat will contact the Research Coordinator to acknowledge receipt.

The time schedule for this call will be as follows:

STAGE	TIME FRAME	COMMENTS
Application received at call secretariat	April 23, 2010	Electronically
Formality Check and eligibility check	April 24 - April 30, 2010	Carried out by Call Secretariat
Scientific Evaluation	May 1 – May 31, 2010	Peer Reviewers
Decision for shortlisted and for rejected concept notes	May 31, 2010	Call Steering Committee
Notification sent to applicants	June 1, 2010	Call Secretariat

You are required to complete the Application Form, which is the only form of submission that will be accepted. Below you find some guidance that will help you to complete the Application Form for Concept Notes. The section names refer to the respective sections in the Application Form.

Section A: General Project Information

A.1. Title and Dates

Please provide a project title and acronym if applicable as well as date of start and end of project. The implementation period may be between 1st January 2011 and 31st December 2013. However, the project may not start until all formalities have been completed. Projects should not exceed 36 months. Please include a period of reporting within the project period.

A.2. Details of Lead Organisation

Please include details of all lead organisations including the Research Coordinator.

A.3. Partner Details

Please include details of all consortium partners. Please copy and paste the tables if necessary.

Section B: Specific Project Information

In this section the applicants must provide information that will be used for evaluation of the concept note. It is indicated in the application form how the different sub-sections relate to the evaluation criteria. The maximum word number per subsection is only indicative, but **the total length of Section B must not exceed 5 pages** (Arial, 11 points). Concept notes exceeding the established limit for section B may be disqualified from the evaluation process. Attached additional information other than CV's and the required declarations in Section D will not be considered in the evaluation process.

B.1. Aims and Objectives of the Project

Briefly indicate the overall aims and objectives of your concept note.

B.2. Relevance to the context of the SPLASH call

Describe the alignment of the project objectives to those of the SPLASH call.

B.3. Short Project Description

The project should be divided into Work Packages and Tasks with clear indication of division of responsibility between partners. Please describe the whole project as well as the individual work package in terms of objectives, scientific methodology, target groups, deliverables, planned scoping study and progress beyond the current state-of-the-art. A work package describing the management and coordination of the research consortium is mandatory.

B.4. Work Schedule

Provide a work schedule indicating planned period of implementation of the various tasks and work packages. Specify key milestones including dates that they are expected to be achieved.

B.5. Monitoring Plan

Provide a plan for monitoring both management and research activities.

B.6. Management of Risks and Assumptions

Describe any risks and assumptions that are likely to affect project implementation and achievement of the outputs and how they are planned to be managed.

B.7. Project Coordination and Management

Describe the project coordination and management strategy. Describe the previous management experience of the Research Coordinator.

B.8. Description of the Consortium

Describe the role and contribution of each partner in the project, providing evidence of special competences, details of key individuals and other relevant background information. Please consult the guidance notes and fact sheets mentioned in Annex 2 on recommendations and principles of effective research management. Short CV's of the Research Coordinator and key staff of the partner organisations should be appended to the application.

B.9. Interdisciplinarity and Transdisciplinarity

Describe the diversity of scientific disciplines and the synergies between the partners bringing added value by working together for the achievements of the call objectives.

B.10. Potential Impact

Describe the potential impact of the project and its outputs on the target groups, and the potential of the results to contribute to large-scale implementation of pro-poor urban sanitation systems. Include the outcome planning and monitoring components to be used.

B.11. Dissemination and Exploitation of Project Outputs

Provide an outline plan for the dissemination and exploitation of the expected project outputs and the knowledge generated by the project. A final workshop should be considered as an integral part of dissemination. Indicate what indicators of successful dissemination will be used to measure this.

Section C: Budget Summary (EURO)

Please provide an indicative summary budget here. Specify the costs per activities and per partners and distinguish between the total costs and what you request from SPLASH (the difference between total costs and requested contribution are your in-kind contributions or third party funding). A letter of commitment from the third party involved must support any third party funding.

Please use the indicated budget lines for the activity budget. If your salary costs do not include overheads, specify them in the respective budget line. Indicate the costs for dissemination activities separately in the respective budget line. SPLASH will require financial audits on a yearly basis, indicate the audit costs in the respective budget lines. All budgets should be in EURO.

Section D: Declarations

A standard declaration that the project does not contravene European principle of ethics must be included in the Application Form. Please use the appropriate templates. The declaration should be signed in each participating organisation by a person with authority to commit the organisation to participate.

SUBMISSION CHECKLIST

As a help to applicants and especially the Research Coordinator, the following may be considered a checklist:

1. Ensure you have completed and checked all parts of the application form, including budget and declarations and that they are correctly completed.
2. Ensure that the consortium fulfils eligibility criteria (see "Call Applicants guideline").
3. Ensure that declarations are complete and signed by suitably authorised persons.
4. Ensure that the application is submitted in compliance with published deadlines.

Concept note application form

A.1. TITLE AND DATES	
Project title	
Acronym if applicable	
Date of Start of project	
Date of End of Project	

A.2. DETAILS OF LEAD ORGANISATION	
Name of Lead Organisation (Partner no. 1)	
Postal address	
Postal code	
City	
Country	
Phone number	
Fax number	
Organisation Website	
Name of Research Coordinator	
E-mail address	
Phone number	

A.3. PARTNER DETAILS	
Name of Partner Organisation no. 2	
Postal address	
Postal code	
City	
Country	
Phone number	
Fax number	
Organisation Website	
Name of contact person	
E-mail address	
Phone number	

Name of Partner Organisation no. 3	
Postal address	
Postal code	
City	
Country	
Phone number	
Fax number	
Organisation Website	
Name of contact person	
E-mail address	
Phone number	

Please copy and paste the above tables if necessary in order to include details of all other partners.

B. SPECIFIC PROJECT INFORMATION

**Evaluation Criteria 1:
Scientific and Technological Excellence and Degree of Innovation (B1. + B2.)**

B.1. Aims and Objectives of the Project:
(Max. 250 words)

B.2. Relevance to the context of the SPLASH call on sustainable sanitation service chains:
(Max. 250 words)

**Evaluation Criteria 2:
Project Design (B3. – B6.)**

B.3. Brief Project Description:
(Max. 400 words)

B.4. Work Schedule:
(Max. 400 words)

B.5. Monitoring Plan:
(Max. 250 words)

B.6. Management of Risks and Assumptions:
(Max. 250 words)

Evaluation Criteria 3:

Quality and organization of the consortium, Southern involvement(B7. – B9.)

B.7. Project Coordination and Management:

(Max. 250 words)

B.8. Description of the Consortium:

(Max. 250 words)

B.9. Interdisciplinarity and Transdisciplinarity:

(Max. 250 words)

Evaluation Criteria 4:

Applicability of the results in practice, potential impact and dissemination (B10. – B11.)

B.10. Potential Impact, Potential for Large-Scale Application of the Results:

(Max. 250 words)

B.11. Dissemination Strategy and Exploitation of Project Outputs:

(Max. 250 words)

C. BUDGET SUMMARY

Evaluation Criteria 5: Cost Effectiveness (C1. + C2.)

C1: Costs per activities		
	Total cost (EURO)	Requested from SPLASH (EURO)
Staff costs (salaries)		
Travel and subsistence		
Equipment		
Consumables		
Dissemination activities		
Overheads		
Audit		
Other costs		
Total		

C2: Costs per partners		
	Total cost (EURO)	Requested from SPLASH (EURO)
Partner 1		
Partner 2		
Partner 3		
Partner 4		
Partner 5		
Total		

D. DECLARATIONS

A standard declaration by each consortium partner that the project does not contravene European principle of ethics must be included in the Application Form. Please use the appropriate template as provided below.

Coordinator's Declaration

The coordinator should complete this declaration only.

I declare that I have read the terms and conditions relating to applications for funding and that the information given in this application is complete and correct.

The proposed work raises no sensitive ethical considerations relating to human beings, human biological samples, personal data (whether identified by name or not), genetic information or animals.

The proposed applicants have not committed any financial or other irregularity in the implementation of any previous EU or domestically funded programme.

I consent to the information collected on this form being collected and stored electronically and used to process my application for a research contract with the funders. I consent to the information being sent to the members of Call Steering Committee (CSC) of SPLASH or to third parties for the purposes of assessing and reviewing the application. I acknowledge that:

- a. Names, addresses and other details may be held on a database and used in order to communicate information amongst the members of the CSC and funders;
- b. Members of CSC or funders may be required to release information including personal data and commercial information under laws for Freedom of Information;
- c. Members of CSC or funders will not permit unwarranted breach of confidentiality or act in contravention of applicable Data Protection laws.

Research Coordinator - Partner 1

<i>To be signed by</i>	Signature	Date and Place
Name of Authorised Signatory:		

Participants Declaration

Each participant other than the coordinator should complete this declaration. Please copy this page as many times as necessary.

I declare that I have read the terms and conditions relating to applications for funding and that the information given in this application is complete and correct.

The proposed work raises no sensitive ethical considerations relating to human beings, human biological samples, personal data (whether identified by name or not), genetic information or animals.

The proposed applicants have not committed any financial or other irregularity in the implementation of any previous EU or domestically funded programme.

I consent to the information collected on this form being collected and stored electronically and used to process my application for a research contract with the funders. I consent to the information being sent to the members of the Call Steering Committee (CSC) of SPLASH or to third parties for the purposes of assessing and reviewing the application. I acknowledge that:

- a. Names, addresses and other details may be held on a database and used in order to communicate information amongst the members of the CSC and funders;
- b. Members of CSC or funders may be required to release information including personal data and commercial information under laws for Freedom of Information;
- c. Members of CSC or funders will not permit unwarranted breach of confidentiality or act in contravention of applicable Data Protection laws.

Partner name and no.

(Please enter the name and number of the partner Above)

To be signed by	Signature	Date and Place
Name of Authorised Signatory:		

Annex 2

SPLASH guidance on good research management practice

The SPLASH project has generated important insight into how to design, manage, communicate and evaluate water research in developing countries. There are various aspects of these lessons which are relevant to call applicants, organized here around the different stages of the research cycle: inception, implementation, communication and dissemination; and monitoring and evaluation. Although it is not compulsory to include all these elements when developing your concept note and proposal, the following notes are offered as guidance on good research practice and management in order to assist you.

1. Inception phase of project
<p><i>Strategic and operational objectives</i></p> <ul style="list-style-type: none"> ▪ Clearly define the research problem ▪ Clearly formulate and state the strategic and operational research objectives. ▪ Use appropriate planning tools such as the Logical Framework Approach (LFA)
<p><i>Avoiding duplication of research and using existing knowledge to its full potential</i></p> <ul style="list-style-type: none"> ▪ Include a scoping study to ensure progress beyond current state of the art knowledge
<p><i>Actively involving the relevant stakeholder in the research process</i></p> <ul style="list-style-type: none"> ▪ Include a stakeholder analysis based on systematic criteria to identify legitimate stakeholders ▪ Establish a stakeholder cooperation structure and strategy to be implemented throughout the research process ▪ Ensure stakeholders are actively involved in all stages of the research cycle (including the design, planning, implementation, evaluation and dissemination of research results)
<p><i>Capitalising on local research skills.</i></p> <ul style="list-style-type: none"> ▪ Plans for collaboration between research organizations in the North and the South should be evident ▪ Show evidence of dialogues between the North and the South for the exchange of relevant knowledge and experience, and for formulating a shared agenda of research ▪ Highlight any aspects of capacity development within the research project
<p><i>Symmetrical North – South research partnerships</i></p> <ul style="list-style-type: none"> ▪ Ensure that there is equitable power sharing within research partnerships ▪ Develop a shared code of conduct and agreed working procedures within research partnerships

2. Implementation phase of project*Good research management*

- Research consortia should develop a common vision on research concepts, rules of partner engagement, rules and responsibilities of research managers, researchers and other stakeholders
- Experienced research managers should have experience of interdisciplinary and demand-led research
- Agree early and active roles of end users
- Aim for an integrated approach of inter- and multidisciplinary and trans cultural research teams

3. Communication and dissemination of project*Dissemination of research results*

- Ensure dissemination is targeted to different user groups in terms of the level of content and delivery mechanisms, and takes into account the digital divide
- Ensure that the language is suitable for the user group
- Develop and use quantitative and qualitative measurements for dissemination evaluation

Using intermediary actors to make better use of research results

- Use organizations which can play an intermediary and sustainable communication role between researchers and policy makers to maximise influence of research on policy
- Facilitate multi stakeholder dialogues
- Demonstrate how national and regional partnerships will be used to promote networking and knowledge sharing

4. Monitoring and evaluation of project*Research impact and outcome assessment*

- Include outcome planning and monitoring components in the LFA

Further reading:

- The SPLASH findings on water research for development are synthesised in 14 Factsheets, which are all available on the SPLASH website: .
http://www.splash-era.net/search_outputs.php#fs
- For additional information on best practice of setting up North-South research partnerships, you may also consult the “Guidelines for Research Partnerships with Developing Countries” of the Swiss Commission for Research Partnerships with Developing countries: http://www.kfpe.ch/download/Guidelines_e.pdf