Pathways to Resilience in Semi-Arid Economies: Small Grants Programme

First Call for Concept Notes

# 1. The PRISE Consortium

Pathways to Resilience In Semi-arid Economies (PRISE) is a new, five year research consortium funded by Canada’s International Development Research Centre and the UK’s Department for International Development. PRISE is led by the Overseas Development Institute (ODI), with partners from the Sustainable Development Policy Institute, the University of Dar es Salaam, the London School of Economics, and IED Afrique. PRISE conducts research on inclusive, climate resilient development in African and Asian semi-arid lands in six core countries: Burkina Faso, Kenya, Pakistan, Senegal, Tajikistan and Tanzania).

PRISE is focused on the *inclusive climate resilient development* of semi-arid lands:development that both eliminates poverty and maximises people’s capacity to adapt to climate change. Our research focuses on mechanisms of economic growth and social development, including institutional and regulatory frameworks, markets, and bases of human and natural capital. Our work also considers how these factors affect vulnerability to, and are affected by, climate change, where they fail to meet the needs and aspirations of poor and marginalised people, and how to resolve the trade-offs between these different dimensions.

Our transdisciplinary research adopts a development-first rather than science-first approach, and will advise policymakers and decision makers contemplating uncertain interactions between climate change and economic development in fragile semi-arid lands. In PRISE we are engaging with business leaders, economic ministries, and regional economic communities to create new knowledge, and translate this knowledge into policies and investments which reduce poverty and strengthen adaptive capacity.

## 1.1 Objectives

PRISE is currently in its inception phase. The objectives of PRISE’s inception phase are to:

1. Develop baselines and assessments of current socio-economic and environmental contexts of semiarid lands and;
2. Assess drivers of change and vulnerability in semi-arid lands over the period to 2030.

# 2. The Small Grants Programme

## 2.2 What is it?

PRISE is now inviting concept notes from early career researchers in application for a small grants programme to support research contributing to PRISE’s inception phase objectives and research priorities.

The project expects to award approximately 10 grants, each in the range of £3,000 - £5,000. Proposals offering exceptional value to PRISE might be eligible for additional funding.

PRISE particularly welcomes applications from researchers in developing countries, or associated with developing country research institutions.

## 2.3 How does it work?

Applicants should complete and submit by email the attached PRISE Small Grants Programme Application Form by June 23rd 2014 to Helen Mountfort, the PRISE Consortium Coordinator (h.mountfort@odi.org.uk).

Applications will first be screened for eligibility (see criteria below). Ineligible applications will not be considered. Eligible applications evaluated against selection criteria (see below), and a shortlist presented to the PRISE consortium steering committee for approval.

Only shortlisted applicants will be contacted. Successful applications will lead to individual researchers being offered contracts for consultancy services by the Overseas Development Institute (ODI).

## 2.4 Eligibility criteria

* The research focuses on either global semi-arid lands, or the semi-arid lands of one or more PRISE core countries (Burkina Faso, Kenya, Pakistan, Senegal, Tajikistan, Tanzania);
* The research is based in empirical data (qualitative or quantitative) or modelling, not conceptual or theoretical analysis;
* The research is original and has not been published elsewhere;
* The research addresses at least one of the PRISE research priorities (see 2.5 below);
* The research addresses at least one of the PRISE inception phase objectives (see 1.1 above);
* The research will be completed by December 2014;
* The applicant is either a PhD student or has completed their PhD within the last 3 years; and
* The applicant is not currently enrolled as a student in, or employed by, the PRISE core consortium partners (ODI, LSE, University of Dar es Salaam, IED Afrique, SDPI).

## 2.5 Research priorities

Research priorities in this call are:

* The impacts of past climate-driven disasters, either in aggregate or by sector, or in terms of impacts on poverty reduction, and the efficacy of disaster risk reduction approaches and initiatives;
* Strategic analysis of socio-economic development, drivers of growth, and poverty reduction;
* Analyses of past infrastructure investments and current investment needs, and their relation to economic growth;
* Analyses of key value chains, including issues of participation and barriers to participation, and the place of semi-arid lands in regional and international trade;
* Strategic assessments of pastoralism and/or agricultural productivity in semi-arid areas, their economic value, and the potential impacts of climate change and increased climate variability;
* Identification of critical natural resource dependencies;
* Trends in poverty, governance, economic inclusion, marginalisation, service delivery, human capital, employment, and access to resources, and their implications for climate resilience in semi-arid areas;
* Socio-economic drivers of change, including changes in demand, evolving trade patterns, policy trends (including drives to low carbon economies), and demographic and migration trends;
* Environmental pressures, including issues related to scarcity in land, water and energy; and
* Evaluations of adaptation policies and approaches in semi-arid areas, including the strengths and weaknesses of different approaches to generating evidence based policy.

## 2.6 What we are looking for

PRISE is looking for applications that contribute new and original perspectives, are of high quality and address the consortium’s research priorities and inception phase objectives.

Successful applicants will be expected to produce an academic research paper that is open to being published as a PRISE Working Paper, and to make research data available to PRISE researchers.

## 2.7 Selection Criteria

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| --- | --- |
| Alignment with PRISE objectives and research priorities | 40% |
| Technical quality and innovation | 40% |
| Budget and value for money | 20% |

## 2.8 Milestones

Deadline for proposals June 23 2014

Successful applicants informed July 18 2014

Final report Before November 30 2014

## 2.9 Budgets

Up to £5,000 is available for grants to individuals or institutions to cover reasonable costs, which might include personnel fees, travel costs, field work expenses. Indirect costs and overheads will not be covered. There is the potential for projects that bring exceptional value to the programme to receive funding of up to £10,000.

Pathways to Resilience in Semi-Arid Economies: Small Grants Programme

Application Form

## Instructions

Please complete **Sections A, B and C** of this form, keeping within the word limits where specified. Excess words will be cut out prior to the review process, and therefore will affect the coherence of your application. Errors or omissions could delay the application process. Your application must be submitted in English and Microsoft Word format.

Please refer to the PRISE Small Grants Programme Calls for Proposals, which highlights eligibility criteria and research priorities. Your application must clearly demonstrate how it meets eligibility criteria, addresses research priorities and inception phase objectives, and that research deliverables will be completed by December 2014.

## SECTION A: General Applicant Information

|  |  |
| --- | --- |
| A1: APPLICANT DETAILS | |
| **Name of the lead researcher and email address** |  |
| **Current Position** |  |
| **Name of organisation** |  |
| **Postal address** |  |
| **Postal code** |  |
| **City** |  |
| **Country** |  |
| **Phone number (including international dialling and country code)** |  |
| **Fax number**  **(including international dialling and country code)** |  |
| **Are you currently a PhD student, or have you completed a PhD within the last 3 years?** |  |
| **Date of PhD completion (Past or proposed)** |  |
|  | |
| A2: PARTNER DETAILS (Please include details of other researchers who will receive funds from the project. Do not include mentors and other researchers engaged in the work on a pro bono basis. Copy and paste this table if necessary) | |
| **Name of partner and email address** |  |
| **Proposed role in (research) group** |  |
| **Name of organisation** |  |
| **Postal address** |  |
| **Postal code** |  |
| **City** |  |
| **Country** |  |
| **Phone number (including international dialling and country code)** |  |
| **Fax number**  **(including international dialling and country code)** |  |
| **Organisation website** |  |
| **Are you currently a PhD student, or have you completed a PhD within the last three years?** |  |
| **Date of PhD completion (Past or proposed)** |  |

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| A3: CVs OF KEY MEMBERS OF THE APPLICANT GROUP |

*Please provide CVs (maximum two pages each) for key members of the applicant group.*

## Section B. Research Proposal

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| B1: SUMMARY OF RESEARCH PROPOSAL | |
| **Research proposal title** | *(maximum 15 words max)* |
| **Summary of research proposal and its thematic focus** | *(maximum 300 words)* |
| **Geographic focus** | *(regions and/or countries)* |
| **Funding requested from PRISE (£)** | *(in UK pounds sterling £)* |
| **Counterpart funding (£)** | *(state funding sources and amounts, and whether funds are secured or tentative, in cash or in kind)* |
| **Total project value (£)** | *(in UK pounds sterling £)* |
| **Project duration** | *(in months)* |
| **Proposed start date** | *(dd/mm/yy)* |

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| *B2: SUMMARY OF PROPOSED RESEARCH OUTPUTS* | |
| ***e.g. policy brief*** | *(Description of output, number, objective, type and size of target audience, theme/ topic, etc)* |
| ***e.g. journal article*** | *(Description of output, number, objective, type and size of target audience, theme/ topic, etc)* |
| ***e.g. working paper*** | *(Description of output, number, objective, type and size of target audience, theme/ topic, etc)* |

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| B3: DETAILS OF RESEARCH PROPOSAL |

**B3.1 Research Problem, Justification, and Hypothesis (maximum 500 words)**

**B3.2 Overarching Aims and specific Objectives of the Project (maximum 200 words)**

**B3.3 Research Methodology (maximum 500 words)**

**B3.4 Response to Developing Country Need (maximum 200 words)**

*(Please indicate the relevance of your proposed work to the issues faced by developing countries with respect to inclusive climate resilient development in semi-arid areas)*

**B3.5 Relevance to the PRISE Priorities (maximum 200 words)**

*(Please indicate which of the PRISE priority research themes and inception phase objectives your proposal addresses)*

**B3.6 Potential Impact and Uptake of Results (maximum 200 words)**

*(Please indicate how PRISE can make use of your proposed research outputs)*

**B3.7 Relation to Previous and Ongoing Work (maximum 200 words)**

*(Please indicate how the proposed research relates to, and is different to, your PhD and/or current research activities)*

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| B4: RESEARCH PROJECT MANAGEMENT |

**B4.1. Project Management Approach (maximum 200 words)**

*(Include partnership arrangements within the project team)*

**B4.2. Risks and Assumptions (maximum 200 words)**

*(Include ethical considerations where relevant)*

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| B5: WORK PLAN |

Provide a breakdown of the activities to be funded by PRISE and the milestones (key events or deliverables) that can be related to the items in the project budget.

Please provide a time-line indicating the planned periods of implementation for the various tasks and work packages in a Gantt-diagram. Please make sure to include all the research outputs on this timeline.

# Section C. Budget

Using the templates provided below, provide a breakdown of how, and for what purposes, PRISE funding will be spent. All budget indications must be in Pounds Sterling (£). Up to £5,000[[1]](#footnote-1) is available for individuals to cover reasonable costs, which might include personnel fees, travel costs, field work expenses. Indirect costs and overheads will not be covered.

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| --- | --- |
| **C1: REQUESTED BUDGET** | |
| **Total Funds Requested from PRISE (£)** |  |
| **Total funds available in matched funding and from third parties** |  |
| **Total** |  |

|  |  |  |
| --- | --- | --- |
| **C2: DETAILED COSTINGS** *(Please provide brief details on each of the categories you have completed in the budget form. Guidelines are provided below).* | | |
| **Budget Categories** | **Budget Notes** | **Total Requested (£)** |
| **Staff costs (salaries)** | *(e.g. lead researcher 20 days @£120 per day = £2400)* |  |
| **Travel** | *(e.g. 1 return economy flight London to Dakar @£400 = £400; visa for Senegal £40; Taxi from airport to hotel £15;*  *1 return economy flight London to Nairobi @£450 = £450; visa for Kenya £30; Taxi from airport to hotel £20; Total 2 return flights, 2 visas, 2 taxis = £955)* |  |
| **Subsistence** | *(e.g. 3 days accommodation and subsistence in Dakar @£80 per day = £240; 5 days accommodation and subsistence in Dar es Salaam @ £70 per day = £350; Total 8 days accommodation and subsistence = £590)* |  |
| **Equipment** | *(e.g. rental of data projector, 4 days @£30 per day = £120)* |  |
| **Other costs** | *(e.g. photocopying at library 100 pages @£0.2 per copy = £20)* |  |
| **Total** |  |  |

Budgets must be realistic estimates of the funds required for the proposed research. Unless specified otherwise, awards should cover the costs of such items as: salaries for staff, research equipment and expendable supplies. All amounts quoted should be inclusive of any relevant taxes and charges (including Sales Tax or Value Added Tax). All awards and payments will be arranged through individual contracts for consultancy services. PRISE will only cover costs directly incurred and supported by receipts and invoices, and will not cover overheads or indirect costs.

## Payments

The grant award will be in Pounds Sterling (£). All payments are inclusive of any relevant taxes and charges (including Sales Tax or Value Added Tax). All research payments are made solely to the Contracted Party. All award application budgets must be made in Pounds Sterling (£). If the recipient’s bank account uses a currency other than Pounds Sterling (£) then payments will be subject to any fluctuations in the exchange rate when the payment is converted to that currency. These fluctuations will be at the recipient’s expense or gain.

## Budget

Any changes from the approved application including the budget must receive prior approval from PRISE. PRISE allows the recipient justified transfers of funds between the following categories in the budget: salaries, equipment, consumables and travel/subsistence. Any transfers must be within the approved total budget. All transfers must be approved by PRISE in writing prior to expenditure.

**Salaries:**

Allowable:

* Funds may be used to reimburse the labour of the recipient and any other contracted parties in support of the research project.

**Equipment**

Allowable:

* Leasing or renting equipment for the duration of the project.
* Purchase of equipment that will remain in a developing country research institution as a way of increasing long-term capacity for conducting research.

Not Allowable:

* + Equipment that will become the property of an individual researcher at the completion of the project.

**Travel and Subsistence**

Allowable:

* Where travel is necessary for the performance of the project, the most economical means of transport **on the most direct route** should be used.
* Airfare for projects funded through PRISE must be at no more than economy rate.
* Transportation between the airport and hotel should be by the most economical means available, with an upper limit of £20 each way.
* Vehicles may be rented or hired for travel to remote field-work.
* The cost of any airport taxes and other taxes incurred, as well as necessary visas and inoculations.
* Excess baggage fees will be covered only for items necessary to the project.
* Subsistence rates and per diems are being replaced with payment of actual expenses incurred whilst project team members are required to travel away from home and spend a full night away or more. Per diems act as a ceiling on what might constitute reasonable expenditure, and therefore they will continue to be used as a benchmark against the receipted expenditure claims. For reference purposes the World Health Organisation rates, less a discount of 20%, should be used as this benchmark.

Not Allowable:

* Upgrades to business class or first class.
* PRISE will not cover expenses incurred from side trips or other travel unnecessary to the project.

**Other Expenses**

Allowable:

* Printing.
* Copying.
* Translation.
* Rental of meeting rooms and workspace.

Not Allowable:

* Administrative overheads or indirect costs are not allowable under the Small Grant Scheme.

## C3: Proposed Payment Mechanism

For Small Grant Awards, PRISE will make payments linked to certain milestones or deliverables. A minimum of 25% of the overall funding will be retained for payment on successful completion of the contract, and no more than 25% will be paid in advance. Please indicate your proposed payment mechanism in the table provided.

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| **Proposed Payment Date** | **Amount (in GBP)** | **Milestone/Deliverable** |
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1. There is the potential for up to £10 000 to be made available for projects that offer exceptional value to the programme. [↑](#footnote-ref-1)