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**Strengthening Technology,  
Research and Innovation  
Cooperation between  
Europe and South Africa**

Organisation of 2 twinning events

Deliverable 2.3

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## **Executive summary**

The project on Strengthening of Technology Research and Innovation between Europe and South Africa (ESASTAP 2020) has been critical in enhancing the Research and Innovation (R&I) cooperation between South Africa (SA) and the European Union (EU).

The main objective of Work Package (WP) 2 of this project is to provide a structured, efficient and effective support to the Science, Technology and Innovation (STI) dialogue based on analytical evidence and to further support the implementation of joint activities in the flagship areas as specified in the Joint Science and Technology Cooperation Committee (JSTCC) Roadmap for Cooperation between South Africa and the EU, and thematic areas agreed under the individual SA-EU Member States (MS) and Associated Countries (AC) bilateral cooperation. The coordination of STI activities is important in order to optimize the framework of cooperation between researchers and contribute to the elimination of obstacles for impactful partnership. The overall outcome of this WP is evidence of more streamlined and/or more joint activities between SA researchers and their EU counterparts.

In order to deliver on this task, WP2 partners conceptualised and implemented two joint activities in a form of match-making/ twinning events on critical thematic areas of importance between SA and the EU. Twinning activities were viewed as ideal instruments for strengthening SA/EU STI cooperation within the framework of ESASTAP 2020. This view was further supported by the South African Department of Science and Technology (DST) agenda of seeking to broaden bilateral cooperation between South African research institutions, universities and small and medium enterprises (SMEs) with their EU counterparts.

The two identified joint activities focused solely on marine science research as this was one of the three thematic areas that emerged as critical for joint multi-country collaboration between South Africa and the EU. Also, focusing on this thematic area allowed WP2 partners to align ESASTAP joint activities with the Declaration of Intent that was signed between South Africa and the EU. Further to this, both the EU and the DST requested WP2 partners to prioritise marine science for enhancing joint research and innovation activities between South Africa and the EU.

A marine science twinning workshop (held on the 12th of July 2017 in Lisbon, Portugal) and a twinning call on marine science (launched on 03 August and closed 29 September 2017) were the two main joint activities that were conceptualised and successfully implemented in this regard.

Approved joint projects between SA researchers and their EU counterparts emanating from the above-mentioned twinning events are currently underway and the achievements thereof will be presented at the end of 2018.

## 1. Introduction

The ESASTAP 2020 Project and its predecessors (i.e. FP6 and FP7 INCO projects SAccess, ESASTAP, ESASTAP-2 and ESASTAP Plus) have been instrumental in enhancing the success of the SA-EU R&I cooperation. Discussions at the policy level between the European Commission (EC) and the DST on areas of cooperation between South Africa and the EU led to a renewed focus on themes of common interest with particular emphasis on Marine Science. As a result of this, ESASTAP 2020 was requested to support this policy document.

South Africa is engaged in a significant number of bilateral agreements involving STI cooperation with EU MS and ACs. Amongst its key objectives the ESASTAP 2020 project seeks to support the coordination of EU MS and AC's research and innovation policies and programmes with South Africa in order to maximise synergy for bigger impact and value add. This type of coordination could result in a more optimal investment of resources especially since South Africa and the EU seem to share similar objectives and have a common interest in cooperation in research and innovation. Also, this coordinated effort can assist South Africa in particular to reduce the current heavy administration and continuous monitoring that comes with managing numerous bilateral programmes.

To reach this goal, ESASTAP partners started by undertaking a research study analysing and reviewing the current status of the research and innovation cooperation programmes between South Africa and individual European countries. This task was undertaken by WP2 partners led by the South African National Research Foundation (NRF) in partnership with the French National Research Institute for Sustainable Development (IRD), the Research Council of Norway (RCN), the Project Management Agency at the German Aerospace Centre (DLR-PT), the South African Technology Innovation Agency (TIA), and the South African Department of Science and Technology (DST).

The outcomes of this research study were used to define and conceptualise joint activities to further improve the coordination of different bilateral research and innovation cooperation initiatives. In line with the research outcomes two joint activities, in a form of match-making/ twinning events, were conceptualised and implemented by WP2 partners. Twinning events were viewed as ideal instruments for enhancing and strengthening SA/EU STI cooperation within the framework of ESASTAP 2020.

It was decided to focus the twinning events on marine science research as one of the critical thematic areas of importance to SA and the EU. The first twinning activity was conducted in a form a researchers' workshop and the second one in a form of a call for joint proposals between South African and European researchers. These two twinning activities were implemented between months 13 and 23 of the ESASTAP project (i.e. February – December 2017).

The aim of this report therefore, is to present these two twinning events. The report is divided into three main sections as follows:

- **Section 1: Focus on marine science:** outlines the main reasons for focusing all the twinning activities on a single thematic area of focus.
- **Section 2: Twinning workshop on marine science:** provides a detailed account on the objectives and outcomes of the workshop.
- **Section 3: Twinning call on marine science:** presents the nature of the twinning call, the application, screening and review processes, and the outcomes thereof.

## 2. Focus on marine science

Marine science was emphasised for three main reasons. Firstly, as a result of the outcomes of the research study on existing bilateral research and innovation programmes between SA and individual EU MS and ACs conducted by ESASTAP 2020 WP2 partners. When analysing the outcomes of this research study it was found that all the active bilateral programmes that exist between South Africa and EU MS and ACs were designed on the basis of agreed upon thematic areas of focus deemed important by the partnering countries. From this research, it became clear that there were those thematic areas that could be identified as key priority fields where potential for better coordination and synergies can hold. These themes were grouped into three broad categories as follows: (1) health, (2) blue economy, oceans and water, and (3) food security and sustainable agriculture. However, the second broad category, marine science in particular, emerged as far more critical of the three themes.

Secondly, marine science has been an important area of focus way before ESASTAP 2020. This thematic area has been important since ESASTAP Plus in 2014. For continuity and sustainability purposes, ESASTAP 2020 partners decided to continue strengthening the cooperation in this thematic area. Under ESASTAP Plus, twinning activities had been launched as part of WP3 task, that is: “investing in innovation for enhanced cooperation”. A workshop on marine science cooperation to explore opportunities and synergies was organised with the South African Marine Research Institute Ma-Re (based at the University of Cape Town), the French Institute ICEMASA, and the Norwegian Institute Nansen TuTu, in order to lead to the establishment of a permanent international structure: an International Centre on Marine Sciences for Africa.

ESASTAP Plus also supported a south-south workshop on Tropical and South Atlantic Ocean Research in October 2015 in Brazil (which included South Africa, Brazil, Angola, Namibia, Argentina, Uruguay and the EU). The south-south Tropical and South Atlantic Ocean Research was organised as a follow-up action of the discussions that took place in Belgium in April 2015 at the North Atlantic Ocean workshop that was attended by South African and Brazilian delegations. The workshop was aimed at promoting scientific cooperation and capacity building among South Atlantic countries to exchange expertise and knowledge in the fields of ocean science and technology for the socio-economic benefits of these countries.

Moreover, from 2014 to 2016, ESASTAP Plus supported four twinning activities in marine science (including polar science), as follows:

- France (National Centre for Scientific Research – CNRS: LEGOS), Germany (Leibniz Centre for Tropical Marine Ecology or/and Institute of Geology, University of Hamburg) and South Africa (Marine Research Institute, University of Cape Town).
- Portugal (Centre of Oceanography of the Faculty of Sciences of the University of Lisbon) and South Africa (Nelson Mandela Metropolitan University).
- France (CNRS Institut Pluridisciplinaire Hubert Curien - UMR7178) and South Africa (Percy FitzPatrick

Institute, University of Cape Town and Nelson Mandela Metropolitan University).

- Poland (Palaeo-oceanology Unit, University of Szczecin) and South Africa (Coastal and Marine Research Institute, Nelson Mandela Metropolitan University).

The support of twinning activities within marine science by ESASTAP 2020 partners was therefore viewed as a way of ensuring that there is continuity in the foundation that was laid by the previous initiative, and that researchers do not lose momentum.

Thirdly, the ESASTAP 2020 partners were requested by both the EC and the DST to support their policy imperatives by way of implementing some of the initiatives on marine science. Discussions at the policy level on areas of cooperation between South Africa and EU led to a renewed focus on themes of common interest with particular emphasis on marine science. This renewed focus is captured in the Declaration of Intent that was signed between the EU and South Africa in October 2016.

### **3. Twinning workshop on marine science**

The first twinning event to be implemented by WP2 partners under the ESASTAP 2020 framework was a twinning workshop on marine science hosted on the margins of the New Era of Blue Enlightenment event that took place on 12-14 July 2017 at the Altis Belém Hotel in Lisbon, Portugal. The ESASTAP twinning workshop was hosted as one of the many parallel sessions on the 12th of July. This workshop was also meant to enhance the launch of the South Atlantic Research and Innovation Flagship Initiative by ensuring and supporting the participation of South African researchers/experts in marine science. The preparations of this workshop started during M13 to M17 of the ESASTAP Project, that is: from February to end June 2017. The workshop itself was held during M18 (July 2017) of the ESASTAP project. The strategic objectives of this workshop are outlined below.

#### **3.1. Objectives of the workshop**

The specific objectives of the ESASTAP twinning workshop were to:

- initiate dialogue between European and South African researchers working within the marine science field;
- create a platform for European and South African researchers to explore possible joint collaborative programmes in marine science that can further enhance EU-SA cooperation in research and innovation; and
- create synergy and better alignment for bigger impact and value add in future joint projects between EU and South Africa.

#### **3.2. Scope and participants**

The ESASTAP twinning workshop intended to provide an opportunity for European researchers in the field of marine science to engage and interact with South Africa's leading experts in the same field. The workshop served as a platform for researchers to expand on existing partnerships at the same time strive to foster discussion around new collaborative opportunities in marine science.

In order for this to happen ESASTAP partners needed to bring together South African leading researchers in marine science and their European counterparts in the same room. This was the main reason why the ESASTAP workshop was organised on the margins of the New Era of Blue Enlightenment event, which pulls together marine science researchers and scientists from all EU MS and ACs. By "piggybacking" on this event, ESASTAP partners saved on costs as the focus was only on supporting the participation of South African researchers.

The following seven South African leading researchers in marine science were sponsored to participate at



the ESASTAP 2020 twinning workshop:

- Dr Isabelle Ansorge – University of Cape Town (UCT)
- Dr Bernart Stewart – Centre for Scientific and Industrial Research (CSIR)
- Prof Alakendra Roychoudhury – Stellenbosch University (SUN)
- Dr Halo Issufo – Cape Peninsula University of Technology (CPUT)
- Dr Jennifer Veitch – South African Environmental Observation Network (SAEON)
- Dr Charine Collins – South African Environmental Observation Network (SAEON)
- Dr Pedro Monteiro, Centre for Scientific and Industrial Research (CSIR)

These South African researchers were accompanied by the following officials:

- HE Minister Naledi Pandor – South African Minister of Science and Technology (DST)
- Ms Vinny Pillay – South African Mission to the European Union (DST)
- Dr Thomas Auf der Heyde – South African Department of Science and Technology (DST)
- Dr Gilbert Siko – South African Department of Science and Technology (DST)
- Mr Dimitris Filippidis – ESASTAP Coordinator
- Mr Teuns Phahlamohlaka – representing ESASTAP WP2, National Research Foundation
- Mr Arthur Guischet – representing ESASTAP WP2, French National Institute for Research and Sustainable Development

### **3.3. Structure and main outcome of the workshop**

At the workshop, all the South African researchers sponsored by ESASTAP 2020 had the opportunity to individually introduce themselves and interacted with all the workshop participants during the full three days of the event (i.e. 13-14 July). Each of these South African researchers presented their projects and future ideas to the European (and Brazilian) counterparts that attended the workshop. Their presentations highlighted the researchers' specific areas of focus, the type of partnerships they're searching for and the kind of institutions they're interested in partnering with.

After the individual presentations researchers were allowed to informally engage and/or network with all the other workshop participants. The idea behind this informal networking session was to provide a platform for researchers to create first contacts and exchange ideas for possible future collaboration. See **Annexure I** for a full programme of the workshop. The main outcome of this workshop was an agreement on the need for a seed-fund to facilitate further discussions and networking amongst researchers. It was agreed that a twinning call to support the mobility of researchers will go a long way in strengthening collaboration amongst researchers. Towards the end of the workshop ESASTAP 2020 partners announced the possibility of launching such a call as its second twinning activity.

In closing the workshop, the South African Department of Science and Technology highlighted the potential of South Africa in marine science and the South African government's willingness to develop and strength its international cooperation.

## 4. Twinning call on marine science

Even though a twinning call was not planned nor budgeted for, as a way forward, WP2 partners agreed, also at the recommendation and agreement of the ESASTAP 2020 EC Officer, and in line with the outcomes of the twinning workshop, to find means of launching this twinning call during M19 of the ESASTAP Project (i.e. August 2017) as the 2nd twinning activity. The twinning call was viewed as a far more sustainable way of ensuring continued collaboration (rather than just focusing on workshops), hence the idea was endorsed by all the ESASTAP Project partners. In agreement with the ESASTAP 2020 Coordinators, some of the WP2 partners (in particular NRF, IRD and RCN) agreed to move some of their ESASTAP travel costs and/or personnel costs to cover the grants to be awarded under this twinning call.

The objectives of this twinning call therefore was to provide mobility grants to both South African and European researchers in order to (1) build on /expand the existing research collaboration and relationships and (2) establish new research relationships or collaborative projects. The overall aim was to establish long-term, institutional cooperation between EU and South African partners and reach a new level of partnership by strengthening a small number of strategic alliances.

The maximum budget that was made available by ESASTAP WP2 partners was **7,000 Euro** (approximately R105 000) per researcher per grant. These funds were to be utilised for twinning activities taking place between January and end September 2018 and only as:

- a top-up grant to an already existing/funded network/project on marine science between South Africa and EU MS and AC;
- a start-up grant for organising consortia meetings of partners who are working on/or preparing proposals for application to other H2020 calls on marine science; and
- to initiate or establish a new marine network/project between South Africa and EU MS and ACs.

Having such a modest budget for grants meant that actual research activities would not be supported through this twinning call. These grants were to be utilized solely for mobility. Therefore, researchers were only eligible to use the funds in order to cover the costs of the activities mentioned below.

- Networking events (i.e. joint workshops, seminars, conferences, symposia, meetings, regional conferences, etc.).
- Accommodation, subsistence, international and local travel of researchers and their postgraduate students, including costs for visa.
- Other networking activities as defined and motivated by the partnering researchers.

The call was launched/ published on 3 August 2017 through the ESASTAP and NRF website (including the

websites of all the other institutions represented by ESASTAP partners) and was closed on 29 September 2017. The call guideline is included as Annexure II for further reference. Researchers applied through the NRF online submission system

#### **4.1. Screening and eligibility check**

+/- 100 applications were created on the NRF online submission system. A little over 60 applications were either withdrawn at the later stage and some were not submitted by the call deadline. Within those that were submitted only 12 met the eligibility criteria and were therefore submitted for review. The screening of applications and the eligibility checks were conducted by the NRF officials between 30 September and 15 October 2017.

#### **4.2. Review process**

The Review Committee (RC) for the evaluation of the 12 eligible proposals submitted under the ESASTAP twinning call on marine science composed of six officials representing the organizations responsible for ESASTAP WP2 activities. At the 6th meeting of the ESASTAP WP2 Partners held on 19 September 2017, it was agreed that for cost containment measures, the review process for the twinning call would be contained within WP2. This is also because this twinning call was originally not planned or budgeted for. This meant that WP2 partners needed to find ways of reducing and saving costs. As a result of this, only organizations that are part of WP2 of ESASTAP 2020 were appointed as reviewers, i.e. NRF, DST, TIA, IRD, RCN, and DLR-PT. The meeting was chaired by the NRF. The RC meeting took place on 30 November 2017 at the NRF offices in Pretoria, South Africa. Below is a list of all participants who were part of this RC meeting:

##### *Six Review Committee Members*

- Jonathan Diederiks: South African National Research Foundation (NRF), Toto Matshediso: South African Department of Science and Technology (DST), Teboho Seseng: Technology Innovation Agency of South Africa (TIA), Arthur Guischet: French National Research Institute for Sustainable Development (IRD), Jan Haakonsen: Research Council Norway (RCN), and Stefan Haffner: Project Management Agency at the German Aerospace Centre (DLR-PT)

##### *Chair of the Meeting*

- Prudence Makhura: South African National Research Foundation (NRF)

##### *Observer at the Meeting*

- Stephen Dlamini: South African National Research Foundation (NRF)

### *Meeting Secretariat and Minute-Taker*

- Busiswa Molefe: South African National Research Foundation (NRF)

The full Programme of the RC meeting is hereby attached as Annexure III. The meeting started with a briefing session for the RC members. This was a short briefing (max of 30-minutes) because another briefing was provided prior to the start of the review process, through a tele-conference that was held on 6 November 2017. The overall aim of this 30 minutes session was to ensure that all RC members have the same understanding of the procedure to be used for the evaluation of proposals. This session was also used as a platform for RC members to ask questions of clarity should they so desire. The following critical issues were outlined during the briefing session:

### **Explanation on the selection, scoring and ranking procedure**

Only applications that passed the eligibility check were allowed into the evaluation procedure. After the eligibility check was concluded 12 proposals were judged to be eligible and were submitted to the RC members for preliminary assessment. Each proposal was assessed by two different RC members, which means one RC member evaluated a maximum of 4 proposals prior to the RC meeting. Therefore, two preliminary assessment reports were available for each proposal.

In preparation for the meeting all preliminary assessment reports were received and distributed among the RC members. A preliminary ranking list ahead of the RC meeting was compiled based on the scores awarded by RC members in their preliminary assessment reports. The NRF as the secretariat prepared the meeting using the preliminary assessment reports and the preliminary ranking. Reviewing and scoring was done according to the scoring scheme indicated below.

1.0 – 1.4	1.5 – 3.4	3.5 – 5.4	5.5 – 7.4	7.5 – 9.0
Excellent	Very good	Good	Reasonable	Weak

The ranking was based upon weighing of the four criteria as follows:

- Potential of the networking activities leading to long-lasting sustained partnership (25%)
- Feasibility of the network/ twinning activity/ mobility plan being executed within the 9-months period (25%)
- Budget fitting to the plan – value for money (25%)
- Participation of postgraduate students (25%)

## **Conflict of interest**

During the 30 minutes briefing session the chair addressed the issue of the conflict of interest. Prior to the RC meeting, RC members were requested to specify (potential) conflicts of interest regarding the proposals allocated to them and the team members involved in the allocated proposals. Four conflicts of interest were signaled prior to the RC meeting as follows:

- Arthur Guischet on proposal number: ESAG170829260959
- Arthur Guischet on proposal number: ESAG171005264544
- Arthur Guischet on proposal number: ESAG17003264277
- Arthur Guischet on proposal number: ESAG170912262361

The chair informed the above-mentioned RC member that he would be excluded from the review process of the respective proposals. The chair further explained that he will be requested to leave the room during the discussions of the above-mentioned proposals and will not be allowed to take part in the scoring. The chair asked whether any of the other RC members had noticed a new conflict of interest after the preliminary assessments in the preparation of the meeting. This was not the case.

## **Confidentiality and final scoring of the proposals**

During the briefing session RC members were once again reminded of the fact that the entire procedure is confidential. All RC members (including the chair, observer, and minute-taker) signed, prior to the RC meeting, confidentiality agreements. RC members were also informed that they will make their final judgement based on the application, preliminary assessment reports, and discussions during the meeting. The RC members were urged to weigh the arguments of the two preliminary reviewers and the discussions during the meeting for their final assessment score. They were further reminded that the arguments as provided prior to and during the meeting will be communicated to the applicants as motivation for funding or non-funding of proposals.

### **4.3. Outcomes of the review process**

The preliminary ranking was compiled by the NRF according to the scores given by the two preliminary reviewers on their preliminary assessment reports. The NRF prepared a file that indicated preliminary scoring and preliminary ranking. Therefore, all 12 proposals were equally discussed by following four steps indicated below.

- The lead reviewer would introduce the proposal and summarises his/her main findings by also providing a motivation for his/her score.

- This would be followed by a remark from the second reviewer on the same proposal who would either support or contradict the lead reviewer.
- Immediately thereafter the chair would open the floor for discussions on the same proposal in order to give other reviewers a chance to also raise their opinions on the same proposal.
- After the discussions, the chair would give all RC members few seconds to re-score the proposal under discussion.
- Therefore, each RC member was provided with a new score sheet at the meeting.

By lunch time, all proposals had been discussed and re-scored. During lunch the NRF collected all updated scores, computed them, and prepared the new ranking list to be looked at after lunch for decisions on who to fund. Immediately after lunch the NRF presented the new updated ranking list. The new ranking list clearly indicated the first four strong proposals that should be discussed and considered for funding. It was therefore agreed that proposals ranking from five will not be re-discussed or considered for funding. Included as **Annexure IV** is a list of all the 12 proposals and their ranking prior and after the RC meeting. Proposals highlighted in green were approved for funding by the RC members and all proposals highlighted in red were not approved for funding. Therefore, only three proposals were approved for funding under this call. This decision was also made taking into consideration the available budget.

After the approval process, during the afternoon, RC members were provided with a report template and requested to put together the feedback reports to applicants. It was made clear that the feedback reports should take into consideration the comments of the two preliminary assessments and the discussions during the meeting. Each RC member was allocated two proposals in this regard. The chair closed the RC meeting at 16:00 after collecting all applicants' feedback reports and thanking the RC members and members of the NRF staff.

#### **4.4. Next steps and deadlines**

- Feedback reports were forwarded to applicants by the NRF on 11 December 2017.
- Awards to the three successful applicants were made by the NRF on 15 December 2017.
- Twinning activities by the three successful applicants will start in January 2018 and will be concluded by the end of September 2018.
- Funded researchers to submit their final report on the achievements of their twinning activities to the NRF by end of November 2018.

## Abbreviations

AC	Associated Country
CPUT	Cape Peninsula University of Technology
CSIR	Centre for Scientific and Industrial Research
DLR-PT	Project Management Agency at the German Aerospace Centre
DST	Department of Science and Technology
EC	European Commission
ESASTAP	Strengthening Technology, Research and Innovation between Europe and South Africa
EU	European Union
IRD	French National Research Institute for Sustainable Development
JSTCC	Joint Science and Technology Cooperation Committee
MS	Member States
NRF	National Research Foundation
R&I	Research and Innovation
RC	Research Committee
RCN	Research Council Norway
SA	South Africa
SAEON	South African Environmental Observation Network
SMEs	Small and Medium Enterprises
STI	Science, Technology and Innovation
TIA	Technology Innovation Agency
UCT	University of Cape Town
WP	Work Package



## ANNEXURE I

### Programme: ESASTAP 2020 Twinning Workshop

#### ESASTAP 2020

#### EU – South Africa Cooperation on Marine Science: Matchmaking Session

### AGENDA

**14:45 – 14.55** Introduction, Welcome and Opening Remarks

Incl. outline of the purpose of the session

By: Vinny Pillay, Department of Science and Technology (South Africa)

**14.55 – 15.10** Background on ESASTAP 2020 Project

Incl. presentation on the coordination of South Africa's bilateral cooperation with EU MS & ACs and update on former twinning activities

Presented by: Dimitris Filippidis, ESASTAP Coordinator (Greece)

**15.10 – 15.20** “Highlighting Successful Projects from Former Twinning Activities”

Incl. Mare Project SA + ICEMASA: France - SA + Nansen Tutu: Norway - SA + Consolidation and way-forward

Presented by: Dr Issufo Halo (UCT-South Africa) and Dr Francis Marsac (IRD-France)

**15.20 – 15.30** Ideas for Possible Future Collaboration Between SA and EU Researchers

South African researchers to provide brief presentations on their specific focus area of research and an outline of the type of partnership they're searching for (1slide).

Presented by: South African researchers

**15.30 – 16.00** Speed-Dating Session

Informal networking session based on the presentations made by South African researchers for matchmaking purposes.

Facilitated by: National Research Foundation (South Africa) and the French National Research Institute for Sustainable Development (France)

**16.00 – 16.10** Exploring opportunities and synergies for twinning activities 2017 - 2018

Presentation of the future call

Presented by: French National Research Institute for Sustainable Development (France)

**16.10 – 16.15** Closing Remarks and Way-forward

By: Dr Thomas Auf der Heyde, Department of Science and Technology (South Africa)

## **ANNEXURE II**

### **Guideline: ESASTAP 2020 Twinning Call**

#### **ESASTAP 2020 Call for Twinning Activities in Marine Sciences**

**Closing Date for applications: 29 September 2017**

#### **About ESASTAP 2020**

The project on Strengthening of Technology Research and Innovation (R&I) between Europe and South Africa (ESASTAP 2020) and its predecessors (i.e. FP6 and FP7 INCO projects SAccess, ESASTAP, ESASTAP-2 and ESASTAP Plus) have been instrumental in enhancing the success of the SA-European Union (EU) Research and Innovation cooperation. Discussions at the policy level between the European Commission and the Department of Science and Technology on areas of cooperation between South Africa and EU led to a renewed focus on themes of common interest with particular emphasis on Marine Science. ESASTAP 2020 has been requested to support this focus. For more information on ESASTAP2020 and its activities please visit [www.esastap.org](http://www.esastap.org).

Amongst its key objectives the ESASTAP 2020 project seeks to support the coordination of EU Member States (MS) and Associated Countries (AC)'s research and innovation policies and programmes with South Africa in order to maximise synergy for more prominent impact and value addition. To reach this goal, ESASTAP partners have (1) undertaken studies analysing and monitoring the current status of the SA-EU bilateral research and innovation cooperation programmes and (2) use the outcomes of these studies to organise match-making workshops on critical themes of common interest to further improve the coordination of different bilateral R&I cooperation initiatives. This work is currently undertaken by Work Package (WP2) partners led by the South African National Research Foundation (NRF) in partnership with the French National Research Institute for Sustainable Development (IRD), the Research Council of Norway (RCN), the Project Management Agency at the German Aerospace Centre (DLR-PT), the South African Technology Innovation Agency (TIA), and the South African Department of Science and Technology (DST).

#### **Why a call for twinning activities?**

The Science, Technology and Innovation (STI) cooperation between the EU and South Africa as originally framed by the EU/SA Scientific and Technological Cooperation Agreement and as steered by the Joint Science and Technology Coordinating Committee (JSTCC) requires a support mechanism which can translate and facilitate policy decisions, and provide intelligence and information services to various actors and stakeholders. In previous years the ESASTAP project series (ESASTAP, ESASTAP-2 and ESASTAP+) has successfully provided this support. The current ESASTAP 2020 Programme also aims to further advance this bilateral STI cooperation by building on the work and results of three preceding actions and responding to the needs and recommendations at the policy dialogue level, in particular to the mandate of the JSTCC

and to the adopted Roadmap for cooperation between Africa and EU.

Twinning activities within the framework of ESASTAP 2020 are ideal instruments for strengthening EU/SA STI cooperation. This is further supported by the Department of Science and Technology agenda of seeking to broaden bilateral cooperation between South African research institutions, universities and SMEs with their EU counterparts. The objectives of this Twinning Call therefore is to provide mobility grants in order to (1) build on /expand the existing research collaboration and relationships and (2) establish new research relationships or collaborative projects. The overall aim is to establish long-term, institutional cooperation between EU and South African partners and reach a new level of partnership by strengthening a small number of strategic alliances.

### **What strategic objectives are to be achieved through this twinning call?**

The funding for this twinning call is meant for exploration and networking of R&D collaboration between the EU and South African research institutions, universities and SMEs, aiming at achieving the following strategic outcomes:

- Long-term international partnerships between South African universities and research institutions and their EU counterparts.
- Awareness of the science, research, technology and innovation potential of partner countries.
- Establish new contacts with stakeholders in the partner countries.
- Active R&D networks amongst the next generation of scientists (PhD students/early to mid-career researchers) within partner countries.
- Joint project ideas in key areas of the European Research Programme(s) leading to successful joint applications for larger funding in Horizon 2020.

### **What is the thematic focus of this call?**

In October 2016, the EU/SA JSTCC identified several thematic areas for strengthening research and innovation cooperation between South Africa and the EU. ESASTAP 2020 has agreed to support marine sciences as one area from this list. For this reason, applications for this twinning call can only be submitted within the particular theme of **Marine Sciences**, including polar science, oceanography, marine ecology, marine geology, marine biology, maritime meteorology and climatology.

### **Which activities are eligible for funding?**

The purpose of this call is to support the networking research activities and mobility of researchers (and

their postgraduate students) between South Africa and EU MS and ACs. Research activities as such will not be **supported by this call**. Therefore, the funds can only be used for:

- Networking events (i.e. joint workshops, seminars, conferences, symposia, meetings, regional conferences, etc.).
- Accommodation, subsistence, international and local travel of researchers and their postgraduate students, including costs for visa.
- Other networking activities as defined and motivated by the partnering researchers.

### **What is the duration of the funding support?**

- Joint networking /mobility activities will be supported for a maximum period of 9 months (starting January 2018 until the end of September 2018).
- Researchers must utilise the funds within the stipulated 9-month period.
- No networking/ mobility activity shall be supported after the end of September 2018.

### **Who may apply?**

- The call is open to higher education and research institutions (i.e. universities, universities of technology, science councils) from South Africa and Europe (MS/ACs).
- The funds will be awarded to a Consortium. One Consortium must consist of researchers from one/more national institutions based in South Africa and one/more national institutions based in EU MS/ACs. A Consortium can also include SMEs (from SA/EU) as partners.
- International organizations are not eligible.
- Each Consortium must elect a Consortium Leader (CL) who will bear the main responsibility for the project activities, including its technical and administrative coordination as well as scientific and financial reporting.
- The CL must be a researcher based at any of the South African public higher education institutions or research councils.
- The CL must be in a possession of a PhD.
- In terms of human capital development, Consortia that involve young scientists (i.e. postgraduate students) and focus on gender equality (a balanced involvement of female and male researchers) will

be positively considered and will receive a higher rating.

- The grant will be released to the CL; therefore, it is the responsibility of the CL to ensure that all the other Consortium partners (i.e. researchers from EU countries and SMEs) have access to the funds.

## **Funding Modalities**

Funding will be available for a maximum period of 9 months (Jan-Sep 2018). Researchers must utilize the funds for networking/twinning activities taking place within this 9-month period. Networking/ mobility proposals must be jointly developed and completed by the partnering researchers on both sides. Apart from the financial support from the ESASTAP 2020 Project, institutions and universities are encouraged to solicit other funding resources as needs be.

These funds can be used as:

1. A top-up grant to an already existing/funded network/project on Marine Science between South Africa and EU MS and AC.
2. A start-up grant for organising consortia meetings of partners who are working on/or preparing proposals for application to other H2020 Calls on Marine Science.
3. To initiate or establish a new Marine network/project between South Africa and EU MS and ACs.

## **How much should I apply for?**

The maximum budget available per Consortium (to be awarded to the CL) is 7,000 Euro (approximately R105 000). Please do take note that:

- Each Consortium will be funded only for the activities within the scope of the guidelines, should it be successful.
- The award per Consortium will be released only to the CL, who should be based at any of the South African public universities or science councils. All the other Consortium members can access the funds from the CL.
- Scientific and financial reporting on the networking /mobility activities is obligatory and must be completed by the CL upon completion of the activities.

## **What is the deadline for submission of applications?**

Applications must be submitted through the NRF Online Submission System by **29 September 2017**. Ap-

plications received after this date will not be considered for funding.

## How do I apply?

The onus is on the applicants to find their own research partners. Please note that application does not guarantee funding. Applicants can apply by following the steps below:

- Applications must be submitted electronically to the NRF on the NRF Online Submission System at <https://nrfs submission.nrf.ac.za/>
- Register/Login using your ID number and password.
- Go to “My Applications” and select “Create Application”.
- Select the call for which you are applying for: ESASTAP 2020 Twinning Call.
- Complete all compulsory sections applicable to you. Please attach the required documents in PDF format and in one file in the following order: CV of partners and the signed page of the partners, networking /mobility schedule/plan, and budget.

Please take note of the following aspects:

- Complete applications by the CL will go to the CL’s host institutions for verification before being forwarded to the NRF for further processing.
- Incomplete applications and applications that do not meet the eligibility criteria will not be considered.
- The CL must contact their research office or Designated Authority for any queries.
- Applications submitted outside the NRF Online Submission System will not be accepted.
- No hard copies will be accepted and will automatically be disqualified by the NRF.
- Only applications endorsed by the research office or its equivalent at higher education or research institutions will be accepted.

## How are applications evaluated?

Following the eligibility check, eligible proposals will be evaluated by the members of the ESASTAP 2020 Project, based on the following criteria:

- Potential of the networking activities leading to long-lasting sustained partnerships



- Feasibility of the network/mobility plan being executed within the 9-month period
- Budget fitting to the plan (value for money)
- Participation of postgraduate students.

## Important dates

- Opening of Call: 3 August 2017
- Closing of Call: 29 September 2017
- Screening and Evaluation of received proposals: 1 October to November 2017
- Awarding: December 2017
- Networking /mobility activities: start of January to end of September 2018
- Final date for submission of the report by CL: 15 November 2018
- The CL must note that he/she will also be requested to provide a follow-up report on the network/project a year after the funding period.

## Where can I obtain more information?

For more information please contact:

National Research Foundation (NRF)	
For programme-content related queries	For technical and grant related queries
Busiswa Molefe	Stephen Dlamini
Professional Officer	Professional Officer
Knowledge Advancement and Support	Grants Management and Systems Administration
Tel: +27 12 481 4028	Tel: +27 12 481 4037
Email: busiswa@nrf.ac.za	Email: stephen.dlamini@nrf.ac.za

## ANEXURE III

### Programme: Review Committee Meeting

08:30 – 09:00	<b>Briefing Session</b> <ul style="list-style-type: none"><li>• welcome, introduction and briefing</li><li>• Q&amp;A - clarification</li></ul>	Chair: Prudence Makhura
09:00 – 09:30	<b>Evaluation and Rating of ESAG170913262515 and ESAG170907261982</b> <ul style="list-style-type: none"><li>• Arthur to summarise and introduce proposal ESAG170913262515</li><li>• Arthur supported by relevant 2nd Reviewer</li><li>• Discussion and scoring of Proposal ESAG170913262515</li><li>• Arthur to summarise and introduce proposal ESAG170907261982</li><li>• Arthur supported by relevant 2nd Reviewer</li><li>• Discussion and scoring of Proposal ESAG170907261982</li></ul>	Arthur Guischet (IRD)
	<b>Evaluation and Rating of ESAG170908262130 and ESAG171002264150</b> <ul style="list-style-type: none"><li>• Toto to summarise and introduce proposal ESAG170908262130</li><li>• Toto supported by relevant 2nd Reviewer</li><li>• Discussion and scoring of Proposal ESAG170908262130</li><li>• Toto to summarise and introduce proposal ESAG171002264150</li><li>• Toto supported by relevant 2nd Reviewer</li><li>• Discussion and scoring of Proposal ESAG171002264150</li></ul>	Toto Matshediso (DST)

10:00 – 10:30	<p>Evaluation and Rating of ESAG170922263316 and ESAG170829260959</p> <ul style="list-style-type: none"> <li>• Jan to summarise and introduce proposal ESAG170922263316</li> <li>• Jan supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG170922263316</li> <li>• Jan to summarise and introduce proposal ESAG170829260959</li> <li>• Jan supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG170829260959</li> </ul>	Jan Haakonsen (RCN)
10:30 – 11:00	REFRESHMENTS	
11:00 – 11:30	<p>Evaluation and Rating of ESAG171005264544 and ESAG170907262060</p> <ul style="list-style-type: none"> <li>• Jonathan to summarise and introduce proposal ESAG171005264544</li> <li>• Jonathan supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG171005264544</li> <li>• Jonathan to summarise and introduce proposal ESAG170907262060</li> <li>• Jonathan supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG170907262060</li> </ul>	Jonathan Diederiks (NRF)

12:30 – 12:00	<p><b>Evaluation and Rating of ESAG1709062618868 and ESAG17003264277</b></p> <ul style="list-style-type: none"> <li>• Stefan to summarise and introduce proposal ESAG1709062618868</li> <li>• Stefan supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG1709062618868</li> <li>• Stefan to summarise and introduce proposal ESAG17003264277</li> <li>• Arthur supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG17003264277</li> </ul>	Stefan Haffner
12:00 – 12:30	<p><b>Evaluation and Rating of ESAG171002264023 and ESAG170912262361</b></p> <ul style="list-style-type: none"> <li>• Tebogo to summarise and introduce proposal ESAG171002264023</li> <li>• Tebogo supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG171002264023</li> <li>• Tebogo to summarise and introduce proposal ESAG170912262361</li> <li>• Tebogo supported by relevant 2nd Reviewer</li> <li>• Discussion and scoring of Proposal ESAG170912262361</li> </ul>	Tebogo Seseng
12:30 – 13:30	<b>LUNCH BREAK</b>	
12:30 – 13:30	<p><b>Final Ranking List for Approval by Review Committee</b></p> <ul style="list-style-type: none"> <li>• Putting together final ranking list based on new scores</li> <li>• Circulate final ranking list on new scores to the Review Committee</li> </ul>	NRF as Secretariat
13:30 – 14:00	<p><b>Discussion</b></p> <ul style="list-style-type: none"> <li>• Discussion of the new ranking list by all and modifications if needed</li> </ul>	Review Committee

14:00 – 14:30	<p><b>Approval</b></p> <ul style="list-style-type: none"> <li>• Approval and sign-off of the Final Ranking List by the Committee</li> <li>• Wrap-up, way-forward and timelines</li> </ul>	Review Committee
14:30 – 15:00	<b>REFRESHMENTS</b>	
15:00 – 17:00	<p><b>Preparation of FINAL Feedback Reports</b></p> <ul style="list-style-type: none"> <li>• Each Review Committee member to edit and prepare the final feedback report to applicants based on (1) comments from the preliminary assessment reports, (2) discussions at the panel meeting, and (3) the final scoring.</li> <li>• Each Review Committee Member to submit their FINAL feedback reports to applicants prior to leaving the room.</li> <li>• NRF as Secretariat will be present at the room for support.</li> </ul>	Review Committee
17:00 – 17:30	<b>END OF WRITING – DEPARTURE BY ALL</b>	

## ANNEXURE IV

### List of initial and final ranking of the 12 evaluated proposals

for internal use only!				
preliminary ranking based on scores by two pre-assessors				
g based on scores by two pre-assessors, discussions at the panel, and final scoring by Review Committee				
scoring system				
Rank (Initial)	Rank (Final)	Proposal No.	Institution	BUDGET
1	7	ESAG170913262515	University of Cape Town	111 083,00
5	6	ESAG170907261982	Nelson Mandela University	105 000,00
6	1	ESAG170908262130	University of Cape Town	108 010,00
3	3	ESAG171002264150	Stellenbosch University	105 000,00
6	2	ESAG170922263316	South African Association for Marine Biological Research	104 000,00
1	2	ESAG170829260959	South African Environmental Observation Network	105 000,00
6	9	ESAG171005264544	University of Cape Town	100 800,00
4	4	ESAG170907262060	University of Western Cape	105 000,00
2	8	ESAG1709062618868	University of KwaZulu-Natal	R 112 000,00
8	10	ESAG17003264277	Centre for Scientific and Industrial Research	R 65 250,00
7	8	ESAG171002264023	University of Johannesburg	R 103 000,00
4	5	ESAG170912262361	University of Cape Town	R 105 000,00
<b>Endorsement</b>			<b>NRF Offices, Pretoria</b>	
1	Arthur Guischet, IRD France			
2	Toto Matshediso, DST South Africa			
3	Jan Haakonsen, RCN Norway			
4	Jonathan Diederiks, NRF South Africa			
5	Stefan Haffner, DLR-PT Germany			
6	Teboho Seseng, TIA South Africa			

# Partners



**PRAXI Network | Coordinator**  
Foundation for Research and Technology  
Hellas  
[www.praxinetwork.gr](http://www.praxinetwork.gr)



**DST**  
Department of Science and Technology  
[www.dst.gov.za](http://www.dst.gov.za)



**ASSAf**  
Academy of Science of South Africa  
[www.assaf.org.za](http://www.assaf.org.za)



**APRE**  
Agenzia per la Promozione della  
Ricerca Europea  
[www.apre.it](http://www.apre.it)



**DLR**  
Deutsches Zentrum für Luft- und  
Raumfahrt e. V.  
[www.dlr.de](http://www.dlr.de)



**IRD**  
Institut de Recherche pour le  
Développement  
[www.ird.fr](http://www.ird.fr)



**NRF**  
National Research Foundation  
[www.nrf.ac.za](http://www.nrf.ac.za)



**RCN**  
The Research Council of Norway  
[www.forskingsradet.no](http://www.forskingsradet.no)



**TIA**  
Technology Innovation Agency  
[www.tia.org.za](http://www.tia.org.za)



**ZSI**  
Zentrum für Soziale Innovation  
[www.zsi.at](http://www.zsi.at)



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