



# **Guide 2014**

## **Guide to Danish funding applications for Bilateral Strategic Research Cooperation**

- Brazilian-Danish strategic research cooperation within food science

**Deadline:**  
Friday, 2 May 2014

Published: 14 February 2014

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## 1. Introduction

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### **Theme and financial framework**

This document is a guide to submitting Danish applications for funding for Bilateral Strategic Research Cooperation. The guide relates to the joint call published by the Danish Council for Strategic Research and the State of São Paulo Research Foundation entitled:

[“Call for Proposals - Strategic Research Collaboration in Food Science in the State of São Paulo, Brazil and Denmark – 2014”. A collaboration between the Danish Council for Strategic Research and the State of São Paulo Research Foundation.](#)

For further information on the cooperation and the background, please see the above mentioned joint call and the [“Memorandum of Understanding”](#).

The Danish Council for Strategic Research is offering funding for bilateral strategic research cooperation with São Paulo-based Brazilian partners as stated in the joint call.

The Danish Council for Strategic Research’s Programme Commission on Health, Food and Welfare has allocated:

- **DKK 10 million for research cooperation within food science**

Please note that this funding is for Danish-side activities only. The State of São Paulo Research Foundation covers the eligible costs of the São Paulo-based bilateral research partner. The bilateral research partner has to submit an application for funding to the State of São Paulo Research Foundation.

### **Deadline**

The deadline for submission of the application is

**Friday, 2 May 2014**

The application has to be submitted to the Danish Council for Strategic Research **and** an application with a matching project description has to be submitted by the bilateral research partner to the State of São Paulo Research Foundation no later than by the above mentioned deadline.

Please note that the bilateral partner has to submit a pre-proposal to the State of São Paulo Research Foundation by March 14, 2014. For further details on the Brazilian pre-proposal please contact the bilateral partner. There is **NO** pre-proposal for application submitted to the Danish Council for Strategic Research.

### **Who is eligible for funding?**

In Denmark the call is open to any proposers who meet the criteria set out in the present guide. As such there are no requirements regarding the citizenship of applicants and other participants. However, it is a requirement that the funded research activities promote and strengthen Danish research in the given context.

Please note that the State of São Paulo Research Foundation has different criteria for the Brazilian applicants. They have to comply with special eligibility criteria related to

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the instruments of the State of São Paulo Research foundation called Thematic or Regular Research Awards (instrument to be chosen by bilateral partner). These eligibility criteria are checked in a Brazilian pre-proposal phase. If the Brazilian partner does not comply with these criteria, he/she will not be able to give in a final application. For further information on these criteria please consult the joint call or the bilateral research partner.

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## Important information

- Applicants are urged to check regularly for announcements at [www.fivu.dk/en/dsf-brazil-funds](http://www.fivu.dk/en/dsf-brazil-funds) concerning any clarifications regarding the call as well as other important information.
- This call is available in English only.
- Applications to the Danish Council for Strategic Research must be completed and submitted electronically via the Danish Agency for Science, Technology and Innovation's e-application system. For more information about this system, see Section 10 of this call and "[Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014](#)". The application to the State of São Paulo Research Foundation must be submitted according to local rules – please see the joint call for further information.
- Only proposals submitted to **both** the Danish Council for Strategic Research and to the State of São Paulo Research Foundation are deemed eligible for funding (please be aware, that the bilateral partner will only be able to submit a final proposal if he/she passes the pre-proposal phase).
- See Section 10 for information on how to gain access to the Danish e-application system, and where to find the template for appendices, the application guide and other documents referred to in the call.
- Applicants should note that the Danish Agency for Science, Technology and Innovation is expecting to roll out a new application system over the spring of 2014. Transition to the new application system will be gradual, and the new system will **not** be required to be used for applications under the present call. Applications must therefore be submitted via the system, and using the application forms, used by the Danish Council for Strategic Research in previous years.
- **Implications of the establishment of the Danish National Innovation Foundation:**

In October 2013, the Danish Government concluded a broad-based political agreement with all the Danish Parliament's parties on establishment of "Danish National Innovation Foundation – the foundation for strategic research, advanced technology and innovation". Under this agreement, competitive funding for strategic research, advanced technology and innovation within the Danish Council for Strategic Research, the Danish High Technology Foundation and the Danish Council for Technology and Innovation will be consolidated within the new foundation.

A bill for an act on the new foundation is currently before Parliament, and the new foundation is expected to be established on 1 April 2014.

In order to ensure allocation of the funds to strategic research in the 2014 National Budget before year-end, a decision has been made for the Danish Council for Strategic Research to issue its calls for funding applications, as in previous years.

Establishment of the foundation may have implications for a number of matters in the call such as citations of acts in Section 9 of the call and contact information for secretariat staff listed in Section 10. If these matters affect applicants, information will be published on [www.fivu.dk/en/dsf-brazil-funds](http://www.fivu.dk/en/dsf-brazil-funds).

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## 2. Objectives and prioritised areas

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### Research topics

This call invites joint research proposals within the following research topics:

- New sources of bioactive compounds and new ingredients for functional and fortification purposes in foods.
- Nutrigenomics' impact on human health.
- Biological non-food products from waste residues.
- Healthy and sustainable food/meals based on animal, marine or plant components, with retained nutritional values, produced from emerging new technologies.
- Innovative research within agriculture, food production, food processing and other biological production based on for example information and communication technologies, robotics, nanotechnology, biotechnology and/or user driven innovation.
- Improved food and feed value chain by sustainable and efficient use of natural resources, production methods, systems and processes and technologies that minimize waste.
- Research in safety and quality aspects related to perishable food products.

The basis for this research theme is "[RESEARCH2020 – Strategic Research Horizons](#)", especially pp. 28-32 – “Bio-resources, food and other biological products”.

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### 3. Instrument, grant size, etc.

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#### **Bilateral strategic research projects**

The focus of the instrument “bilateral strategic research projects” is to find solutions to a relatively restricted set of research issues.

The projects must promote the research institutions and the public and private-sector parties’ development of interdisciplinary expertise and contribute to innovation among stakeholders in the public and private sectors. The projects are expected to include involvement of public and private sector stakeholders as well as collaboration with international research environments and individual researchers. The projects are required to create a basis for subsequent international strongholds.

The research should strengthen the knowledge base in its fields of research, and must be research proper in the sense that product development and demonstration projects are not eligible for funding.

Please note that **the bilateral strategic research project** is expected to be a set-up between two equal partners with a similar project volume on both sides and the research activities on either side should be of mutual importance for the expected outcome.

Please observe that the instrument – in the e-application form – is named “International project under DCSR”

#### **Grant size, co-financing and duration**

Funding is available for maximum four strategic research projects with duration of up to four years. Please note that the DKK 10 million allocated for the bilateral call includes overheads. The DKK 10 million is for the Danish activities only. The State of São Paulo Research Foundation covers the eligible costs of the São Paulo-based research partners. In general, a certain amount of co-funding is expected from the parties to the project. See Section 7 of the call for the detailed rules on co-financing. The project is expected to start early 2015.

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## 4. Special characteristics of strategic research

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Strategic research contributes to the solution of significant societal challenges and lays the foundation for future growth, welfare improvements and employment. This is why the Danish Council for Strategic Research attaches importance to the research activities it funds possessing certain special characteristics. These are set out below.

### **Strategic quality**

The Danish Council for Strategic Research assesses quality on the basis of three equivalent criteria: the relevance, potential effect and quality of the research. The research must be of the highest quality and be pertinent to the societal challenges addressed, and hold potential for breakthroughs in terms of technical and practical applications of the research. The concept of quality is explained in more detail in the memorandum "[Strategic research – principles and instruments](#)" of 1 January 2014.

### **International cooperation**

It is possible to apply for funding for further international participation, e.g. towards the costs associated with collaborative research, for the procurement of research from foreign research environments and towards the cost of bringing guest researchers to Denmark.

### **Interaction between research and innovation**

The Danish Council for Strategic Research aims to promote public-private partnerships and the interaction between research and innovation. This is why the Council places emphasis on the research activities being conducted in partnership between public and private-sector stakeholders and with the involvement of the potential users of the research results with a view to the research being, in the short or the long term, groundbreaking not only in scientific terms, but also in terms of its technical and practical applications.

### **Interdisciplinarity**

The aim of strategic research is to clarify or resolve prioritised challenges in society. Due to the complexity of these challenges, it will often be necessary to address the issues from many different disciplinary perspectives ranging from those of the natural, health and technological sciences to the social sciences and humanities. The societal challenges are often cross-cutting in nature and can thus also be resolved solely by means of cross-cutting (interdisciplinary) research initiatives.

### **Research management**

The Danish Council for Strategic Research attaches importance to excellence in research management, including equal opportunities for women and men.

### **Research training**

It is considered important that the funded activities include the training of researchers (PhDs as well as postdocs) and that the training of new generations of research managers is given high priority.



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**Environment, health, gender equality and ethics**

It is considered important that the research contributes to a sustainable societal development in relation to, among other things, environmental, health, gender equality, ethical and social conditions. For projects falling within the objectives for the research themes set out in Section 2, it will therefore be possible to support research that deals with issues within these areas.

**Dissemination**

Importance will be attached to the results of the funded research activities being disseminated to the public in a concise, comprehensible and popular way. Apart from conveying the results of the research, dissemination should also cover their societal relevance and impact.

Please see also the descriptions of objectives and prioritised areas in Section 2 and the assessment criteria in Section 5.

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## 5. Assessment criteria

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Please note that the Danish Council for Strategic Research and the State of São Paulo Research Foundation will evaluate and select the proposals according to their respective institutional procedures and assessment criteria (please find the specific assessment criteria of the Danish Council for Strategic Research listed below).

Only proposals selected and prioritised by both sides will be funded jointly. In the evaluation emphasis will be placed on how well integrated and coherent the project proposal is. The final selection is to be made by representatives from both the Danish Council for Strategic Research and the State of São Paulo Research Foundation.

Applications submitted to The Danish Council for Strategic Research will be assessed on the basis of strategic quality: The relevance of the research, the potential impact of the research and the quality of the research. This is described further in the publication from the Danish Council for Strategic Research “[Strategic research – principles and instruments](#)” of 1 January 2014.

In the assessment of the application the following criteria will be applied:

- Relevance of the research activity in relation to the objective of the research topics, see the descriptions in Section 2 as well as the special characteristics of strategic research mentioned in Section 4.
- The relevance of the research activity, the potential impact and the quality of research, as well as the correlation between relevance, potential impact and research quality as three equivalent criteria.
- The extent of the integration and coherence of the bilateral project proposal, including the added value achieved through the bilateral cooperation as well as the commitment of the bilateral partner. Special emphasis is placed on the proposed project’s synergy effects and added-value to ongoing research within the field including Brazilian-Danish research projects.
- The research environment’s competence and contact with internationally renowned researchers who can strengthen global knowledge development and knowledge sharing in the field.
- Scientific competencies possessed by the head(s) of research and other key team members.
- Managerial competencies possessed by the head(s) of research and the establishment of a competent management structure for the activities.
- The actual and potential significance of the research activity for growth, development and welfare in Denmark in the short and long term.
- The research activity’s contribution to research training (PhD students and postdoctoral researchers).
- Feasibility of the research activity (including management and organisation, timetable, milestones, resources and risk and contingency plans).
- The interaction between public and private-sector research, synergies between the participating parties, and the participating parties’ resource contributions (co-financing and involvement, participation in project management and other contributions in the form of facilities and know-how), including in particular co-financing from the private sector.

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- The research activity's connection with national strategies, if considered relevant to the research area.
- The research activity's strategic significance for the participating public and private parties.

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## 6. Required format for the application

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### Overview of application content

An application must comprise

- An e-application form
- Appendix A: Overview budgets
- Appendix B: Project description
- Appendix C: CVs
- Appendix D: Detailed budgets
- Appendix E: Confirmation of cooperation (if relevant)
- Appendix F: Statements in support of an application for funding for large enterprises (if relevant)
- Appendix G: DSF Bilateral form

The contents of the individual appendices are described below and are elaborated on in [“Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014”](#).

### General application requirements

#### Language

Both the form and its appendices must be completed **in English**. Note however that the e-application form includes a “Popular-science description” to be completed in Danish.

#### Font type, size and line spacing

- **Project** description: The text in the project description must be in Verdana, 10-pt font size, with at least 2 cm left and right margins and at least 13-pt line spacing. It is however permitted in Section 12 (Key references) of the project description to use Verdana, 9-pt with at least 11-pt line spacing. At the same time a smaller font size in any tables and figures is acceptable if it enhances the overall layout without affecting legibility.
- CVs: The CV must be in a font type which in size is at least equivalent to Verdana 9-pt.

#### Application naming convention (incl. acronym)

Applications must have an English title of max. 180 characters, including spaces, briefly describing the activity funding is applied for. Also the title must begin with a suitable short acronym (word formed from the initial letters of one or several words in the title, for example).

**NOTE:** for technical reasons, the title must not contain special characters such as @, §, [ and %.

### E-application form and attachments (appendices)

#### Contents and use of the e-application form

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The e-application form is available at [www.fivu.dk/fi/e-application](http://www.fivu.dk/fi/e-application).

Information about the contents of the e-application form is available in "[Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014](#)".

See Section 10 of this call and the guide at [www.fivu.dk/fi/e-application](http://www.fivu.dk/fi/e-application) (including the FAQ) for more information about how to use the e-application system.

### Appendices

The following appendices must be attached to the e-application form (Appendices A-G, of which appendices E and F only have to be attached if they are relevant to the specific application).

#### Note:

- The templates for budgets (i.e. dsf1 for appendix D and dsf2, dsf3, dsf4 and dsf5 for appendix A) are part of the Excel file named "[DSF Total Forms](#)".
- The template for appendix G can be downloaded via the following link: "[DSF Bilateral form \(Appendix G\)](#)". All templates can also be downloaded via links in the e-application form.
- The appendices must be attached to the e-application form as described in the form itself and in "[Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014](#)".
- The appendices must be in **PDF and must not be password protected or otherwise 'locked'**.
- The total volume of all the appendices must **not exceed 25 MB**.
- The appendices must be named as described below before being attached.
- Appendices may be uploaded as they are completed, and the sort order can then be changed afterwards. Further, previously uploaded appendices may be deleted and substituted by new ones as required.
- It is important that the appendices are sorted in the order specified below before submission.

### Appendix A - Overview budgets

This appendix must contain the following four overview-budgets, in the stated order:

Please note that Appendix A is an overview of the Danish part of the budget. Information on the bilateral research partner's budget should be provided in Appendix G.

1. **A complete budget for the activity that also accounts for financing**  
Use "[Form dsf2](#)" (which is a part of "[DSF Total Forms](#)"), cf. the guidelines in "[Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014](#)".
  2. **Overall summary of the DSF grant being applied for and of the co-financing broken down by cost type**  
Use "[Form dsf3](#)" (which is a part of "[DSF Total Forms](#)").
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3. **List of PhD and postdoctoral grants in the activity**

This list must be submitted on “*Form dsf4*” (which is a part of “*DSF Total Forms*”), cf. the guidelines in “*Danish Council for Strategic Research (DSF) Application Guide, Final Applications, February 2014*”.

4. **List of other scientific/academic and tech/admin. staff participants in the activity**

The list must be provided on “*Form dsf5*” (which is a part of “*DSF Total Forms*”), cf. the guidelines in “*Danish Council for Strategic Research (DSF) Application Guide, Final Applications, February 2014*”.

Each of the four budget sheets must be signed by the applicant and the institution that will be administering the funding. The signed budgets must be compiled in a single file.

**Naming:** The appendix file must be named “Appendix A – Overview budgets” followed by the application title acronym. Example: An application title acronym is “XXXXXX”. The file name will thus be: “Appendix A – Overview budgets - XXXXXX”.

**Appendix B - Project description**

The project description must be arranged under the following headings. All headings must be used in the stated order and the stipulated maximum length of text must be complied with. Please note the above-mentioned requirements for font type etc.

Please note that to ensure equal evaluation on both the Danish side and on the Brazilian side it is important that the project description submitted to the Danish Council for Strategic Research matches the project description submitted to the State of São Paulo Research Foundation (though national requirements on format should be followed).

1. **Summary** (max. 20 lines)
2. **Objective of the project** (max. 15 lines)  
Scientific and in relation to societal/commercial aspects.
3. **The main results of the project** (max. 0.5 page)
4. **Background and hypothesis/research questions of the project** (max. 1½ page)  
Description of the project background and hypothesis/research questions incl. state of the art and with focus on the theoretical basis.
5. **Innovative value, impact and relevance of the project** (max. 0.5 page)  
Both in terms of science and society/business.
6. **Project’s methodology and results** (max. 3 pages)  
In addition to the description of method and results this section should include an evaluation of the uncertainty elements of the project as well as plans for the handling of these elements, *i.e.* possible alternative solution models.
7. **Project plan** (max. 2 pages plus, if necessary, 1 page Gantt chart)  
Comprising milestones, timetable and resource allocation from the participating parties including information about the PhD students involved – possibly in the form of a Gantt chart.

**8. Project's bilateral and international dimension** (max. 1 page)

Description of the bilateral and international activities comprised by the project; anticipated effect and special added value of the bilateral activities – including their significance for Danish research and for the bilateral research partner's country. If further international partners are involved in the project, please include them in the description.

**9. Legal and ethical aspects, etc.** (max. 0.5 page)

Including authorisation requirements (scientific ethics, data security and use of laboratory animals or other) and handling of health, environmental or ethical issues associated with the project.

**10. Publication and promotional strategy and exploitation of results** (max. 1 page)

Describing:

- Expectations concerning scientific and professional publications.
- The broadly oriented presentation - including the dissemination of the results of the project and its potential for innovation.
- How the results will be disseminated and applied – including Intellectual Property Rights (IPR) issues.

**11. The participating parties and project management** (max. 4 pages)

Describing:

- The parties' managerial and scientific competencies and contributions to the project as well as collaboration and synergies aimed at achieving the research programme's objectives.
- The project's organisation - including management of research education and cooperation with national and international companies, research teams and networks.

**12. Key references** (max. 1 page).

*Naming:* The appendix file must be named "Appendix B – Project description" followed by the project title acronym, see the example under Appendix A.

**Appendix C - CVs**

This appendix must include:

- At the front of the appendix a list of the CVs in the order in which they appear.
- CVs of the Danish applicant and other head(s) of research (max. 2 pages per person). The CVs must specify the scientific qualifications and managerial skills and must include a list of selected international publications.
- CVs of the head(s) of research from the bilateral research partner (max. 2 pages per person). The CVs must specify the scientific qualifications and managerial skills and must include a list of selected international publications.
- CVs of other key scientific/academic employees including the most important publications in the last 5 years (max. 1 page per person). If the application includes grants for named PhD or postdoctoral students, the CVs for these persons should be included.

*NOTE:* The table of contents and all CVs must be compiled in a single file in which each CV starts on a new page.

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**Naming:** The appendix file must be named “Appendix C – CV” followed by the project title acronym, see the example under Appendix A.

#### **Appendix D - Detailed budgets**

This file must include the following:

- **Statement concerning budgetary correlations**

A statement concerning special budgetary matters and correlations (max. 2 pages and with content as described in “*Danish Council for Strategic Research (DSF) Application Guide, Final applications, February 2014*”).

- **Detailed budgets (for the grant applied for from the Danish Council for Strategic Research)**

A detailed summary of the financial commitment in the activity project *for each* institution/company involved as a partner or affiliated partner (NOT bilateral research partner). Itemised budgets must also be attached for as yet un-named subcontractors. Use “*Form dsf1*” (which is a part of “*DSF Total Forms*”), cf. “*Danish Council for Strategic Research (DSF) Application Guide, Final applications, February 2014*”.

The terms “partner” and “affiliated partner” are explained in detail in “*Danish Council for Strategic Research (DSF) Application Guide, Final applications, February 2014*”.

The appendix must include scanned versions of the signed budgets; see the signature requirements on the form. The signed budgets must be compiled in a single file.

**Naming:** The appendix file must be named “Appendix D – Detailed budgets” followed by the project title acronym, see the example under Appendix A.

#### **Appendix E - Confirmation of cooperation**

The appendix *must* include confirmations from Danish and international institutions and/or companies, who will be included as “affiliated partners”, “external sources of financing” or “other cooperative partners” (NOT bilateral research partners). This appendix *may* also – in supplement to the budget forms in Appendix D – include statements from the actual partners.

The terms: “partners”, “affiliated partners”, “External sources of financing” and “other cooperative partners” are explained in detail in “*Danish Council for Strategic Research (DSF) Application Guide, Final applications, February 2014*”.

For these, scanned copies of the confirmations are required.

If the application contains several confirmations, these must be compiled in a single file. The applicant is kindly requested to insert an overview list at the front of the appendix in the order in which the confirmations appear.

**Naming:** The appendix file must be named “Appendix E – Confirmation of cooperation” followed by the project title acronym, see the example under Appendix A.

**NOTE:** The bilateral research partner is NOT considered an “affiliated partner” or “other cooperative partner”, it is therefore not necessary to include a “confirmation of cooperation letter” from the bilateral research partner. Should the application not have any confirmations of cooperation, NO appendix file need to be attached.

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### **Appendix F - Statements in support of an application for funding for large enterprises**

Pursuant to the provisions in section 7 of this call concerning “Rules for granting funds to private-sector enterprises”, applications to The Danish Council for Strategic Research for funding for large enterprises must include statements which:

*outline* how the enterprises possess special expertise not possessed by the research institutions, or that the enterprises will be conducting research into what for them represents new fields, and

*estimate* the effect of the funding in the form of an increase in their total expenditure on research and an increase in the number of employees engaged in research activities.

In addition, the statements must include information concerning financing by the enterprises of PhD and postdoctoral grants pertaining to the project. .

“Danish Council for Strategic Research (DSF) Application Guide, Final applications, February 2014” (Section 4) provides a template for such a statement.

Scanned copies of the statements are required. The statements must be written on the official stationery of the enterprise

If the application contains confirmations from several enterprises, these must be compiled in a single file.

**Naming:** The appendix file must be named “Appendix F – Statement – Large enterprises” followed by the project title acronym; see the example under Appendix A.

**NOTE:** Should the application not include any statements, NO appendix file need to be attached.

### **Appendix G – DSF Bilateral form**

“DSF Bilateral form” is an additional form for providing information on the bilateral research partner. The form requires general information on the principal bilateral investigator (name, institution), an estimate of the total budget of all bilateral research partners (broken down into: salary expenses, operational and equipment expenses and other expenses) and an estimation of total project scale of all bilateral research partners (total time spent on the project).

**Naming:** The appendix file must be named “Appendix G – DSF Bilateral form” followed by the project title acronym, see the example under Appendix A.

**NOTE:** The Danish applicant has to fill in Appendix G with information on the bilateral research partner. Please only submit one form with all information.

The Programme Commission will only accept the above-listed appendices.

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## 7. Finances

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### **Eligible costs**

It will be possible to apply for funding for the following:

- Salaries for research managers and principal researchers
- PhD grants
- Postdoctoral grants
- Combination positions, that is, salaries/salary subsidies for researchers who are employed for a fixed period of time at two institutions or at an institution and an enterprise
- Salaries for technical/administrative staff
- Guest researchers e.g. bringing talented researchers from abroad to Denmark for a limited period
- Procurement of research from high-quality research environments abroad that might be moved to Denmark for a period of time
- Equipment costs
- Support for dialogue between research institutions and public-sector institutions and/or private-sector enterprises etc.
- Subsidies for the cost of collaboration with research environments abroad
- Other costs, which are relevant in relation to the specific activities.

It should be noted that funding is awarded as framework grants, and that it is not possible to apply for supplementary grants. Funding cannot be granted to cover costs already incurred.

Please note that the above-mentioned eligible costs relate solely to funding awarded by the Danish Council for Strategic Research. Funding applied for from the State of São Paulo Research Foundation follows the rules of the State of São Paulo Research Foundation (please contact the bilateral research partner for further information on the applicable rules for funding in their specific case).

### **Budget preparation – including breakdown of costs by sub-budgets**

Costs directly attributable to the research activity (direct costs) must be broken down into sub-budgets for the institutions/enterprises participating in the activity based on the principle that the unit which will defray a given cost must include that cost in its sub-budget.

For payroll costs this means that the institution/enterprise which will be paying salaries for the time spent on the activity for which funding is being applied must include that payroll cost in its sub-budget. It is thus of no consequence whether the activity will actually be carried out at the premises of that institution/enterprise. If an individual is employed by multiple institutions/enterprises, an agreement will need to be made between the units as to how time spent on the activity is to be broken down

into hours spent at the premises of each party. Each unit must then include payroll costs for its own share of the activity time in its sub-budget.

Once costs have been broken down into sub-budgets they should be broken down by sources of financing, i.e. funding from DSF, self-financing on the part of the unit itself or financing/funding from other sources. Each sub-budget should include an overheads item corresponding to the rate to which the institution/enterprise is entitled (see the rates below). Overheads should be included in both the budget for funding from DSF and the budgets for financing from other sources.

In the interests of greater flexibility during the funding period, it is permissible for a small fraction of the grant to remain undistributed to the various partners at the start of the funding period. In such cases, the notice of funding will contain a stipulation that these “undistributed” funds may first be used after the programme commission has approved a revised budget that accounts for the distribution of the funding.

Note: “[Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014](#)” contains a detailed description of the budgeting principles and use of the budget templates to be used for the application.

## **Budgeting of costs**

### **Payroll costs**

- *Danish public-sector institutions*: Budgets must state the projected actual payroll costs per month over the funding period.
- *Foreign research institutions and hospitals (including institutions in Greenland and on the Faroe Islands)*: Budgets must state the projected actual payroll costs per month over the funding period.
- *Authorised Technological Service Institutes (“GTS institutter”)*: Budgets must state the actual payroll costs per hour of work performed (i.e. excluding contributions towards coverage of general costs).
- *Danish enterprises, including private research institutions and hospitals*: Budget must state a fixed hourly rate of DKK 600; alternatively a calculated rate per working hour (actual payroll costs + general costs).
- *Foreign enterprises*: As in the case of Danish enterprises, budgets must state a fixed hourly rate, but with an adjustment of the rate to the relevant country’s cost level.

### **Other costs**

Equipment and operating costs etc. must be stated at the projected actual price.

*Education grant*: Note that for a PhD programme, where the student is employed by a public-sector Danish research institution, the institution will be eligible for an annual education grant. The grant is placed at the disposal of the institution to cover costs entailed by the grant recipient, that is, supervision, courses, brief trips, study stays at other institutions etc. The fixed rates are DKK 50,000 per annum for studies in humanities and social sciences, and DKK 80,000 per annum for studies in technical science, natural science and health science.

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### Overheads

For certain types of institutions, the grant may be used to cover overheads, that is, costs not directly incurred from the research activity. Overheads are calculated as a fixed percentage of direct costs, cf. the rates given below. Direct costs means costs incurred as a direct result of the research activity, and that are accounted for in line with the foregoing budgetary rules. Overheads must be included in both the budget for DSF funding and in the co-financing budget.

Institution/enterprise type	Overheads
Danish institutions (including universities and government research institutes) which are subject to the rules regarding grant-funded research activities in the Danish Ministry of Finance's budget guidelines, and which are authorised to carry out grant-funded research activities.	44 %
Danish Authorised Technological Service Institutes (GTS-institutter).	20 %
Danish institutions meeting all the following criteria: <ul style="list-style-type: none"><li>- Receive and are expected to continue receiving a fixed state subsidy of minimum 25 % (measured in relation to the total annual turnover) to cover operating costs.</li><li>- Are non-profit institutions which do not seek to generate profit, and where any profit may not be distributed among the owners.</li><li>- Carry out research as a central purpose.</li></ul>	20 %
Foreign universities (including universities in Greenland and on the Faroe Islands).	20 %
Other foreign institutions (including institutions in Greenland and on the Faroe Islands) meeting both of the following criteria: <ul style="list-style-type: none"><li>- Are non-profit institutions which do not seek to generate profit, and where any profit may not be distributed among the owners.</li><li>- Carry out research as a central purpose.</li></ul>	20 %
Public hospitals in Denmark, in Greenland and on the Faroe Islands.	3.1 %
Danish state-recognised museums (cf. The Danish Museum Act) and public museums in Greenland and on the Faroe Islands.	3.1 %
All other Danish and foreign institutions and enterprises	0 %

### Concerning co-financing

Co-financing from participating public and private-sector parties in Denmark and abroad is expected. Such co-financing may be provided in the form of monetary contributions or as payment "in kind", i.e. by making equipment, staff, etc. available.

The required contribution (co-financing) from a Danish government research institution is maximum 10 per cent of the grant. This “co-funding cap” applies to the total budget for the individual research institution, not to the individual budget items. The institutions may, however, elect to provide a larger share of co-funding if the applicants and the institutions find this merited. A larger share of co-funding will, however, not be regarded as a preferential parameter in the assessment of the application.

Private-sector enterprises are subject to a cap on the proportion of the enterprise’s costs that can be covered by the funding – for more details, see the following section.

### **Rules for granting funds to private-sector enterprises**

Private-sector enterprises may, to a certain extent, receive funding through the Danish Council for Strategic Research. This State aid may be awarded within the provisions of the Danish Agency of Science, Technology and Innovation’s notification to the EU Commission in accordance with the general block exemption regulation (SANI 7903 – SA.36021).

Pursuant to the EU approval, funding may be provided to enterprises engaging in collaborative projects with research institutions. Funding may be awarded to large enterprises on the condition that they possess special expertise not possessed by the research institutions or that the enterprises will be conducting research in what for them represents new fields. In this context, large enterprises are enterprises that do not come under the EU’s definition of micro, small and medium-sized enterprises (SMEs), cf. below.

The funding for enterprises must serve to promote their initiation of further research activities (incentive effect). Funding for large enterprises requires special documentation in the form of an estimate of the increase in their total expenditure on research and the increase in the number of employees engaged in research activities. In addition, the EU Commission requires information concerning financing by the enterprises of PhD and postdoctoral grants pertaining to the project. This information is included in the standard information that must be submitted by all large companies that wish to receive funding from DSF (cf. appendix F of the application).

For a large enterprise, State aid may be granted for a maximum of 50 per cent of the enterprise’s project costs. For an SME, State aid may fund a maximum of 60 per cent of the SME’s project costs. However, it should be emphasised that these are maximum limits. In many cases there will be a requirement for higher self-financing on the part of the enterprise.

Under the EU Commission’s definition, the category of micro, small and medium-sized enterprises is made up of enterprises which employ fewer than 250 persons and where at least one of the following two criteria is met: 1: Annual turnover does not exceed EUR 50 million or 2: the annual balance sheet total does not exceed EUR 43 million. If the enterprise forms part of a group with other enterprises, the group as a whole must meet the above terms. Please see the entire set of rules in [“The new SME definition - User guide and model declaration”](#). If an application is granted, small and

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medium-sized enterprises that are to receive funding will be asked to submit a declaration regarding their status. A form for that purpose will be sent to the grantee.

The above-mentioned rules on direct funding for enterprises do not apply to Authorised Technological Service Institutes (“GTS institutter”), as these institutes are exempt from the foregoing rules by virtue of their authorisation under the Danish Act on Technology and Innovation and the European Commission’s approval of State aid for these entities

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## 8. Submission and processing of the application

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Submission of an application must be done electronically via the Danish Agency for Science, Technology and Innovation's e-application system and must be completed before the deadline specified in Section 1 of this call. See Section 10 of this call for information about the e-application system and the detailed description of the system at [www.fivu.dk/fi/e-application](http://www.fivu.dk/fi/e-application) and in "*Danish Council for Strategic Research (DSF) Application Guide, Final Applications, February 2014*".

**NOTE:** An application for bilateral funding must be submitted (according to national rules) before the deadline in both participating countries. Failure to meet the deadline will result in rejection of the application by both countries.

### **Next steps**

Shortly after submitting the application, the applicant will receive an e-mail acknowledging receipt. If the acknowledgement is not received within 24 hours, the applicant should get in touch with the contacts named at the end of this call to ensure that the application has indeed been received.

An application may be rejected subsequently without substantive consideration if the deadlines set out in this call are not met or if the e-application form is not correctly completed. This is described in more detail in Section 9 of this call. An application may also be rejected by both the Danish Council for Strategic Research and by the State of São Paulo Research Foundation without substantive consideration if the application is not correctly completed by the bilateral research partner or if the bilateral partner didn't pass the Brazilian pre-proposal phase.

The application will be assessed on the basis of materials submitted. It is thus not possible to send in any supplementary material after submission deadline.

### **Proposal assessment and selection**

The Danish Council for Strategic Research and the State of São Paulo Research Foundation will select proposals according to their respective institutional procedures and assessment criteria. Only proposals selected and prioritised by both sides may be funded jointly. The final selection is to be decided by representatives from both the Danish Council for Strategic Research and the State of São Paulo Research Foundation.

### **Announcement of funding decisions**

Announcement of decisions is expected to be issued by October 2014.

### **Final budget, notice of funding etc.**

Applicants who receive a grant must – prior to the preparation of the notice of funding – submit a budget broken down by year. This material will form the basis for drawing up the disbursement profile. Applicants will be notified by the secretariat on the detailed requirements in this regard. The budgets have to be submitted in November 2014. The exact date will be announced by the secretariat.

Further information about the application procedure within the Danish Council for Strategic Research is available at: [www.fivu.dk/en/dsf](http://www.fivu.dk/en/dsf) under "[For applicants](#)". Information about the general rules and conditions for grants is available at: [www.fivu.dk/en/dsf](http://www.fivu.dk/en/dsf) under "For grant holders" > "[Follow-up](#)".

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## 9. Liability, publication, etc.

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Applicants should familiarise themselves with the following before using the e-application system and submitting an application:

### **Storage of information**

When the e-application system is used, the system will automatically register the applicant's identity, IP address and the time at which the application was created or edited will be registered. Data are stored in the system for up to five years.

### **The applicant's responsibility**

The applicant is responsible for ensuring that all information in the e-application is correct, that the required appendices are attached to the e-application, that the contents of the appendices are correct and that the e-application has been submitted to the Danish Agency for Science, Technology and Innovation before the deadline stated in this call.

The applicant is obliged to notify the contacts listed at the end of this call immediately in significant changes affecting the information submitted occur. This includes having received funding for the activity or parts hereof from other sources.

### **Technical disclaimer**

The Danish Agency for Science, Technology and Innovation is obliged to inform prospective applicants of any system errors that make the e-application system unavailable, affecting the applicant's possibility of submitting e-applications within any deadlines. Information on such unavailability is stated on the website of the Danish Agency for Science, Technology and Innovation at [www.fivu.dk/fi/e-application](http://www.fivu.dk/fi/e-application).

In particularly serious cases, the Danish Agency for Science, Technology and Innovation will extend the application deadline for all relevant applicants. This will also be announced on the website at [www.fivu.dk/fi/e-application](http://www.fivu.dk/fi/e-application).

The Danish Agency for Science, Technology and Innovation accepts no liability for incorrect information due to software errors, calculation errors, transmission errors and similar errors, or for any claims for damages due to incorrect use of the e-application system.

### **Data Protection Act**

Danish privacy law (Danish Act on Processing of Personal Data, *Lov om persondata*, no. 429 of 31 May 2000 with subsequent amendments) accords the applicant certain rights when information concerning the applicant is processed electronically. Please note therefore that the applicant has the right at his or her request, to inspect and verify personal data if such data are processed electronically.

It is not possible to make corrections to an e-application after it has been submitted, other than corrections to personal information.



### **Rejection of applications without substantive consideration**

According to section 4 of the Executive order on the granting function etc. under the Danish Council for Independent Research and the Danish Council for Strategic Research (Executive Order no. 1620 of 15 December 2010), an application may be rejected without substantive consideration if the formal requirements or deadlines set out in the call for applications are not met.

If the following rules set out in the call are not complied with, the application may be rejected without substantive consideration:

- The application must be submitted by the deadline set out in Section 1 of the call to both the Danish Council for Strategic Research and the State of São Paulo Research Foundation.
- The application must be made on the correct e-application form (i.e. a form on which the correct call title is stated) and the form must contain all the required information – see the instructions on the form and in “*Danish Council for Strategic Research (DSF) Application Guide, Final Applications, February 2014*”.
- The application may be rejected by both the Danish Council for Strategic Research and by the State of São Paulo Research Foundation without substantive consideration if the application is not correctly completed by the bilateral research partner or if the bilateral partner didn’t pass the Brazilian pre-proposal phase.
- The application must be submitted as an e-application via the Danish Agency for Science, Technology and Innovation’s e-application system.
- The application (e-application form and appendices) must be written in English (except for the “Popular-science description” in the e-application form, which must be written in Danish).
- The e-application form must be submitted with attachment of all the appendices specified in Section 6 of the call.
- Appendix A, D and G must be submitted on the correct appendix form, Appendix B must comply with the requirement described in section 6 of this call and Appendix C must contain CVs for all principal researchers – and shall, as a minimum, include the applicant’s own CV.
- The appendices must not be password protected or otherwise ‘locked’ and the total volume of all the appendices must not exceed 25 MB.

### **Other data which may be obtained by official bodies**

The Programme Commission and the Danish Agency for Science, Technology and Innovation reserve the right to obtain information about any previous and current applications an applicant may have submitted to the scientific research councils of the Danish Council for Independent Research, the programme commissions of the Danish Council for Strategic Research, the Danish Council for Technology and Innovation and/or the Danish Agency for Science, Technology and Innovation, and this information may be included in processing of the e-application.

In the event that project funding has been or will be applied for from elsewhere, the Programme Commission and the Agency reserve the right to obtain information as to whether the amount has been granted.

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### **Publication**

If the application is approved in whole or partially, details of the applicant's title, name and place of employment, the names of the participating parties including the bilateral research partner, the grant title and duration, key figures for the grant and the size of the grant will be published in the Danish Research Database (<http://www.forskningsdatabasen.dk>), on the Danish Agency for Science, Technology and Innovation's website (<http://www.fivu.dk>) and in Danish Council for Strategic Research publications. The popular-science description of the activity may be published in the same places.

Where relevant, in connection with the awarding of a grant, a requirement may be made for the collected data material to be submitted to Dansk Data Arkiv (DDA) in its documented state.

Information about applicants who are not invited to submit a final application may be disclosed in the event that access is applied for pursuant to the Danish Public Records Act (offentlighedsloven). Access to such information may be granted in the form of lists of who has applied and for what purpose (applicant names and application titles). Applicants should therefore take care that their application title does not reveal information about the activity which they wish to keep out of the public domain.

### **Open access**

Attention is drawn to the fact that notices of funding from the Danish Council for Strategic Research will include a provision that the funded activity must comply with the principles in the "Open Access policy for public-sector research councils and foundations", i.e. that published scientific articles that are the result of full or partial financing from the Danish Council for Strategic Research must be made freely available to all via Open Access, if the journal permits this. See the complete wording of the policy at <http://fivu.dk/en/openscience> under "[Open Access policy for public research councils and foundations](#)".

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## 10. Supplementary information

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### Documents and information

References to the appendix budget form, the application guideline and all documents referred to in this call for applications are available at:

*Danish versions:* [www.fivu.dk/dsf-brazil-midler](http://www.fivu.dk/dsf-brazil-midler)

*English versions:* [www.fivu.dk/en/dsf-brazil-funds](http://www.fivu.dk/en/dsf-brazil-funds)

### E-application system

The e-application system is accessible from both the Danish and English versions of the website (i.e. from pages with Danish/English Help text) via the following links:

*Danish:* [www.fivu.dk/fi/e-ansoegning](http://www.fivu.dk/fi/e-ansoegning)

*English:* [www.fivu.dk/fi/e-application](http://www.fivu.dk/fi/e-application)

#### Note:

- Before you can use the system, you will need to set yourself up as a user via the “Register as user” link on the site. If you have several e-mail addresses, please note that acknowledgement of receipt of the application will be sent to the e-mail address used as your user name in the system.
- To start a new application, you must select the link “E-application forms” and then select the relevant call.
- Once you have started an application form, you can break off from it and resume work at any time by accessing “Edit your e-application”.

The system is described in more detail via links to “FAQ” and “About the e-application system” on the above-mentioned online sources. Information on completion of the e-application form is also provided in “[Danish Council for Strategic Research \(DSF\) Application Guide, Final Applications, February 2014](#)”. If specific queries are unanswered by these sources, the contacts mentioned at the bottom of this call can be contacted.

### Contacts

*For questions relating to this Guide to Danish funding applications for Bilateral Strategic Research Cooperation, please contact:*

Head of Section Susanne Hede, tel.: (+45) 7231 8492, e-mail: [sehe@fi.dk](mailto:sehe@fi.dk)

Special advisor on international cooperation Lene Cividanes, tel.: (+45) 7231 8402, e-mail: [lecd@fi.dk](mailto:lecd@fi.dk)

**NOTE:** As a result of the establishment of the Danish National Innovation Foundation (see Section 2 of this call for more information), the published telephone numbers and e-mail addresses *may* be changed around 1 April 2014. If so, a revised list of contacts will be published on [www.fivu.dk/en/dsf-brazil-funds](http://www.fivu.dk/en/dsf-brazil-funds).

*For technical questions relating to the e-application system, please contact:*

Helpdesk: [support.e-ansogning@fi.dk](mailto:support.e-ansogning@fi.dk)

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