

# THE NoPa TOOLBOX

NEW PARTNERSHIPS FOR INNOVATION  
IN SUSTAINABLE DEVELOPMENT

WHY, HOW AND WHO





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IN SUSTAINABLE DEVELOPMENT**

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# IMPRINT

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# FOREWORD

Dear reader,


Our efforts at the Brazilian Federal Agency for Support and Evaluation of Graduate Education (CAPES), affiliated to the Brazilian Ministry of Education, aim to expand and consolidate graduate studies in Brazil by evaluating and accrediting Master's and Doctor's programs and investing in building the capacity of high-level human resources both in Brazil and abroad.

In this context, we believe international cooperation is a key tool to improve the Brazilian education system and promote innovation that contributes to the country's overall development. CAPES and our partners work together to enhance the qualification of researchers, professors and students by sponsoring international academic mobility, supporting international research networks, and promoting the internationalization of the Brazilian universities.

CAPES has joined forces with DAAD and GIZ to develop the New Partnerships Program (NoPa), which is now not only acknowledged as an excellent example of international mobility between German and Brazilian institutions, but also as a successful strategy to promote research and innovation in the fields of energy efficiency and the sustainable use of natural resources.

We are proud to share the tools and methodology we developed with our partners with you. From now on, it behooves you to carry on the promotion of science and innovation in your field of work.

Best Regards,



Amanda Menezes

General Program Coordinator  
CAPES



Dear reader,

In this publication the three organisations active in the international field, CAPES, GIZ and DAAD, present their successful cooperation in Novas Parcerias – New Partnerships (NoPa). The success of NoPa, a three-year experiment, is based on longstanding mutual trust and cooperation.

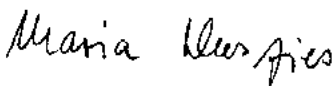
Since GIZ focuses, in Brazil, on the topics of conservation and sustainable management of tropical forests and on renewable energy and energy efficiency, the idea was to combine the needs of society in these topics with academic and scientific knowledge.

CAPES and DAAD – cooperating since 1985 – are providing the academic part by jointly selecting the projects with the partners and stakeholders. Furthermore, we support and monitor the higher education institutes' cooperation, while GIZ provides access to the Brazilian project partners. This combination of development and scientific cooperation can be regarded as a remarkable example of concerted development cooperation.

Here, we would like to express our deep gratitude to the Brazilian Ministry of Education (MEC) and the German Federal Ministry for Economic Cooperation and Development (BMZ) for the funding and their commitment.

I hope you enjoy reading this publication, which will provide you with an insight into the activities of the cross-sector cooperation under NoPa, as well as information and practical guidance based on the experience gained therein.

Yours sincerely,

A handwritten signature in black ink that reads "Maria Kleespies". The script is cursive and fluid.

Maria Kleespies

Head of Section 435 | Higher Education Excellence in Development Cooperation  
DAAD

Dear reader,

The Novas Parcerias Program – New Partnerships or, for short, NoPa – stems from decades of cooperation efforts made by Brazil and Germany. We at the *Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH*, commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ), and our partners (DCTEC/MRE, CAPES and DAAD) conceived NoPa with the objective of developing an innovative approach that would combine the strengths of academic and technical cooperation. We are now glad to say the Program is perceived as a remarkable success in Brazil, Germany and beyond.

This is what gave us at the NoPa team the idea of coming up with this toolbox. It is our pleasure to share our good practices, experience, and lessons learned throughout the three years during which we implemented NoPa with stakeholders from the academia, cooperation for development, the civil society and both the public and private sectors. We would like you not only to get to know the tools and instruments that are the recipe to NoPa's success, but to make them your own by adapting them to your needs and context.

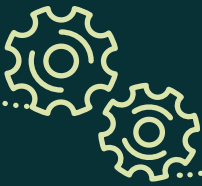
Enjoy the ride and feel free to get in touch with us should you have any further questions.

Best regards,

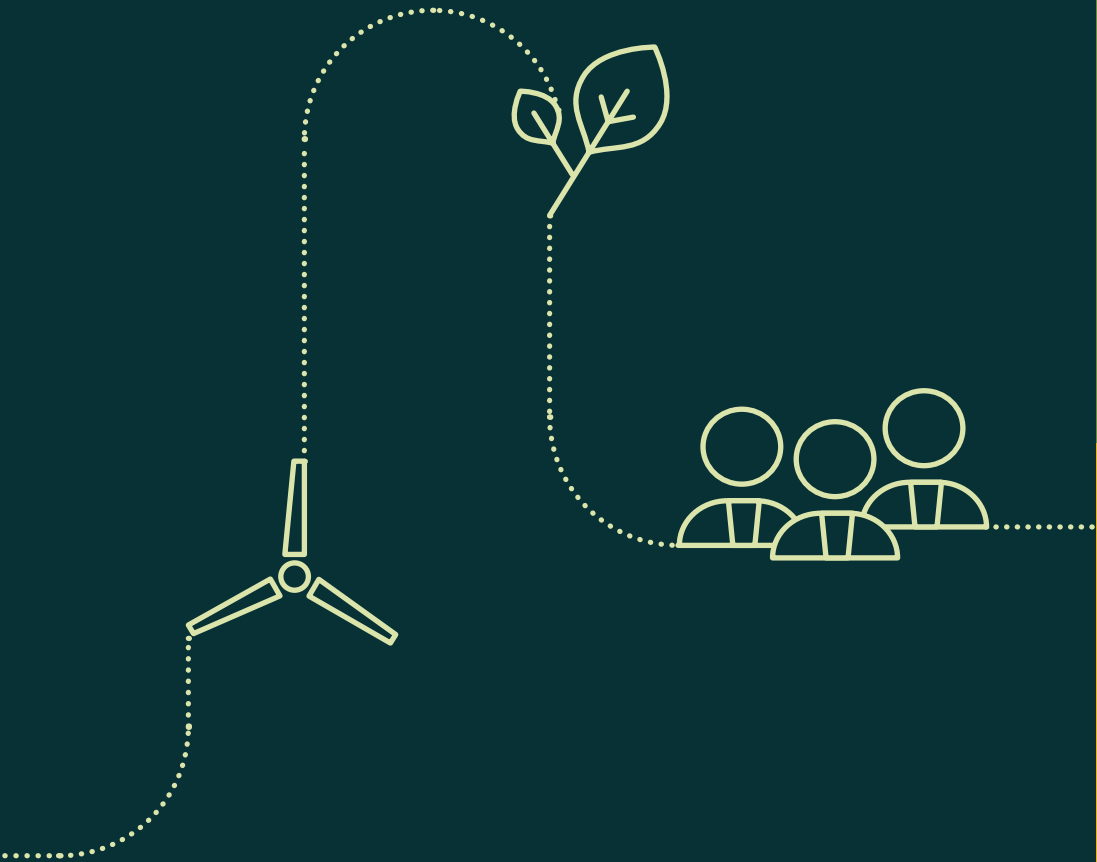
A handwritten signature in black ink, appearing to read 'Juliane Dammann', with a stylized flourish at the end.

Juliane Dammann  
Program Coordinator  
GIZ





# 1 WHAT IS NoPa?

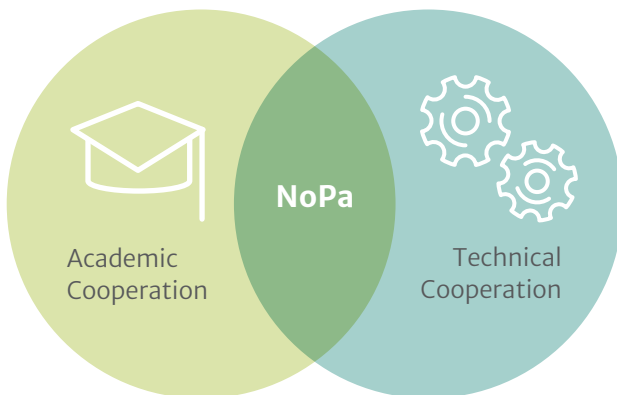




# 1. BACKGROUND

With a longstanding history of cooperation, Brazil and Germany are partners who join efforts to face global challenges. During the 2010 intergovernmental consultations, the German Federal Ministry for Economic Cooperation and Development (BMZ) and the Brazilian Ministry of External Relations (MRE) negotiated a joint program to foster state-of-the-art research to meet the demands of both the private and public sectors in Brazil and eventually contribute to disseminate innovation for sustainable development. The initiative was also part of the *2010–2011 Brazil – Germany Year of Science, Technology and Innovation*.

The new program focuses on two theme areas: *Protection and Sustainable Management of Natural Resources* and *Renewable Energies and Energy Efficiency*. Baptized *Novas Parcerias* (New Partnerships), it combines the competencies and instruments of academic cooperation and technical cooperation to develop a new cooperation modality in their interface as well as test and implement initiatives and instruments to generate sustainable innovation in the two relevant theme areas.



NoPa has been implemented by the Brazilian Coordination for the Improvement of Higher Education Personnel (CAPES), the German Academic Exchange Service (DAAD), and the *Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH* (GIZ) from 2010 to 2014.



## 2. PHILOSOPHY

The main objective of the NoPa Program is to foster new partnerships in the interface of academic and technical cooperation. It is our understanding that combining the capacities of the players involved in each modality (scientists, research funders, development agencies, government bodies, policy makers and the private sector, to name a few) is key to lay the foundations to generate and introduce technological innovation to the market in a sustainable manner.

NoPa taps into scientific networks with the capacities and the contact networks of technical cooperation programs to promote innovation for sustainable development. In this setting, GIZ experts play the role of knowledge facilitators between research on the one side and decision-makers in policy and the industry on the other.

A key step to add technical cooperation elements to academic cooperation facilitated by scientific networks is analyzing potential synergies between research projects and technical cooperation programs. NoPa plans and implements concrete activities based on the identified synergies in three major fields: facilitation of contacts; communication and dissemination of project work and results; and monitoring the use of research results. DAAD and CAPES advise and support universities during the application process and throughout the duration of research projects.

The approaches and methodology generated by the implementation of the Program and the coordination of the efforts of experienced partners in both cooperation modalities are the true legacy of NoPa. We make this experience available here to all players interested in using it and adapting it to other theme areas.



### 3. INSTRUMENTS AND SEQUENCE



The process starts as NoPa's partners develop the initial concepts of the program, defining objectives, communications and responsibilities (including financial). A meeting is then organized with representatives of the academia, policy makers, the private sector and research funders who compose the Thematic Advisory Group (**Grupo Assessor Temático – GAT**). During this meeting, the GAT formulates the criteria of the call for projects based on the knowledge of the needs of potential research result users to make sure the call caters for the actual demand for innovation.



Next, DAAD and CAPES, NoPa's research funding partners, consolidate and publish a **joint call for research projects** considering the input provided by the GAT. The call for projects is available to researchers in both countries simultaneously, with CAPES funding the Brazilian side and DAAD funding the German side.



The next step aims to guarantee that applicants come up with relevant proposals within the framework provided by the call for research projects and, more importantly, that scientists and other stakeholders establish partnerships that involve representatives of both Brazil and Germany.

To that effect, **matchmaking** events are held right after DAAD and CAPES publish the call for projects. Researchers and representatives of research institutes, companies, research funders and potential users of research results get together to identify common interests and complementary competencies, and to draft project proposals. Organized by GIZ with the support of DAAD regarding the content design and the organizational implementation of the German participants, Nopa's matchmaking events are an excellent opportunity to connect the academia, policy makers and the productive sector, cementing relationships that intend to foster innovation.





After project proposals are submitted, the GAT proceeds with a pre-evaluation based on technical criteria. A scientific committee put together by CAPES and DAAD will use the pre-evaluation to assist on the final **selection of the projects** that will be funded under the NoPa Program.



The next step consists of a technical **kickoff meeting**, in which the selected research projects are given general guidelines and have the opportunity to identify potential synergies with each other. The kickoff meeting also includes workshops on project management and financing delivered by project funders and provides the selected projects with the opportunity to review their work plan and define clear milestones that will guarantee they are on the right track to achieve the desired impact.



During their implementation phase, NoPa projects are assisted by **GIZ focal points** who provide an interface between research projects and potential users in both the private and public sectors. DAAD and CAPES are in charge of providing support to project partners regarding academic matters.



Towards the end of project implementation, research teams hold **research-into-use workshops** with potential users of project results. The objective is to provide the academia and the productive sector with an opportunity to discuss whether and how the results achieved by the research projects can be streamlined into the market. Finally, projects are invited to document their findings and recommendations into policy briefs

*A detailed description of all NoPa instruments and their roles in promoting sustainable innovation can be found on **Chapter II – NoPa Toolbox**.*

## 4. PARTNERS AND THEIR ROLES

NoPa partners establish solid partnerships from the very beginning of the process as they engage their complementary competencies and capacities to promote research for innovation under clearly defined tasks and responsibilities

Partners tap into their established procedures and complement them with innovative elements so that the results research generated under NoPa are more likely to be applicable in the industry and used by decision-makers in both policy and practice.

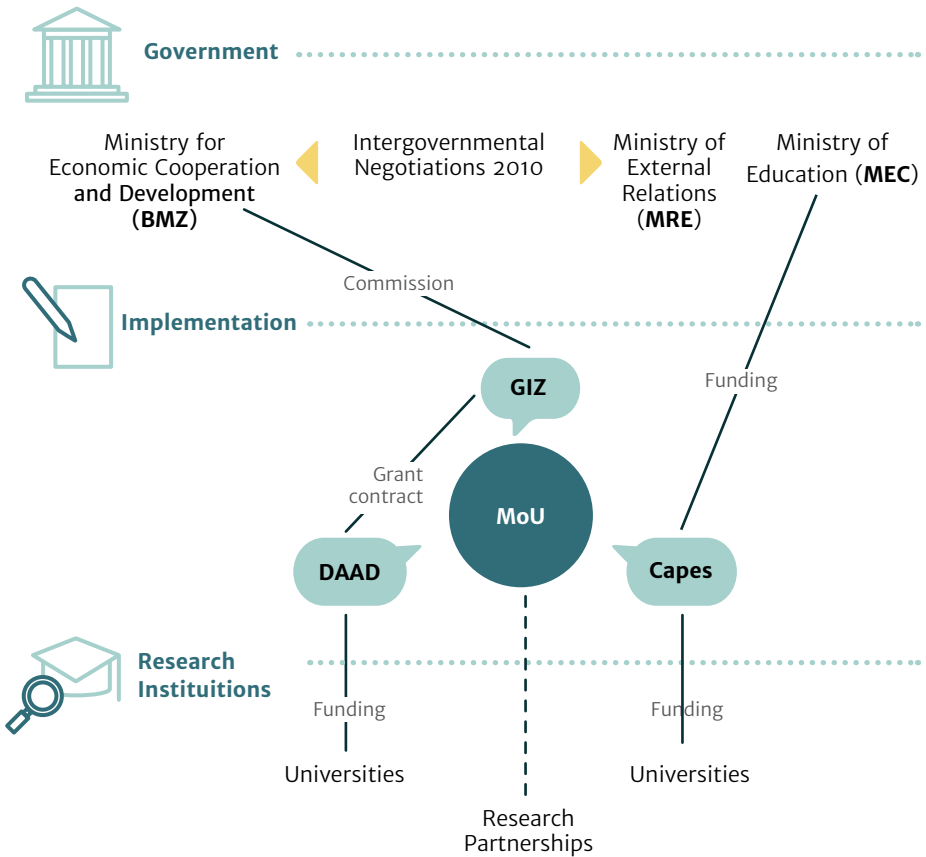
The program is jointly implemented by two agencies of renowned relevance in academic cooperation: the German Academic Exchange Service (DAAD), and the Brazilian Coordination for the Improvement of Higher Education Personnel (CAPES), supported by the German implementing agency for technical cooperation, the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) by commission of the German Federal Ministry for Economic Cooperation and Development (BMZ). While DAAD-CAPES and DAAD-GIZ have already worked together in a variety of other programs, NoPa is the first cooperation program to bring the three institutions together.

### 4.1 COOPERATION STRUCTURE

The German Ministry of Economic Cooperation and Development (BMZ) and the Brazilian Ministry of External Relations (*Ministério das Relações Exteriores* - MRE) agreed to implement the NoPa program in 2010. At the implementation level, GIZ, DAAD and CAPES formalized their partnership by signing a Memorandum of Understanding. Graphic 1 below shows the cooperation structure and mandates of political and implementing partners from both the German and the Brazilian sides.



BMZ commissions GIZ as an implementation agency to support the achievement of the impacts intended by the Program. GIZ and DAAD share this responsibility under a funding contract according to which BMZ funds for the NoPa research cooperation projects are channeled via GIZ to DAAD, which then contracts the participating German universities. On the Brazilian side, CAPES receives funds from the Brazilian Ministry for Education to finance the Brazilian research partners involved in NoPa research cooperation projects.



**Graphic 1 - Cooperation Structure in NoPa**

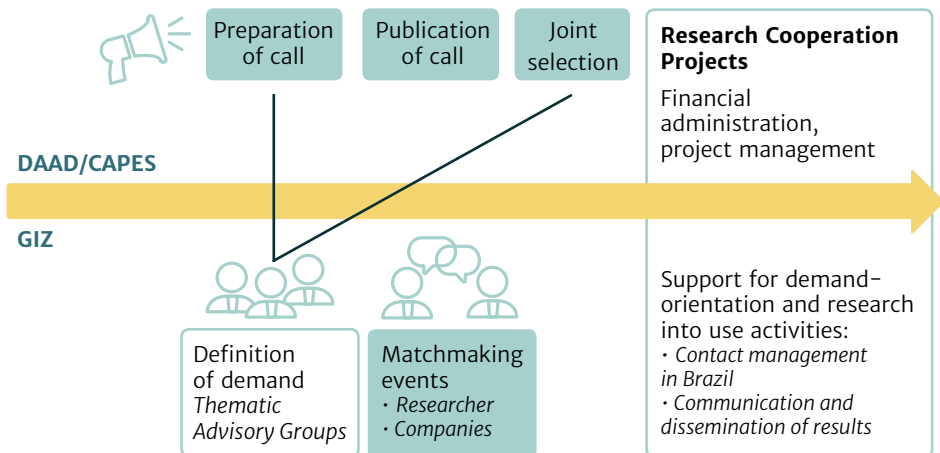
## 4.2 ROLES AND DISTRIBUTION OF TASKS

The roles of the NoPa partners allow them to join their complementary strengths. Graphic 2 below shows NoPa tasks/ components along a timeline of the Program.

### **ROLE OF THE COORDINATION FOR THE IMPROVEMENT OF HIGHER EDUCATION PERSONNEL (CAPES) IN NOPA**

CAPES acts on behalf of the Brazilian Ministry of Education funding Brazilian research projects by allocating scholarships to Master, PhD and Postdoc students. CAPES primarily finances student mobility, as the NoPa call does not contemplate equipment and staff.

CAPES and DAAD have been cooperating closely for the last four decades, funding and implementing university cooperation programs like UNIBRAL and PROBRAL. The two organizations have developed mechanisms and processes in program selection and implementation that facilitate administration and communication. The participation of CAPES has doubled the budget of the NoPa call; and having CAPES as the main Brazilian agency for student exchange and coordination has contributed to fostering and expanding scientific networks, as well as strengthening already established contacts.



**Graphic 2 - Tasks and Timing in NoPa**



## ROLE OF THE GERMAN ACADEMIC EXCHANGE SERVICE (DAAD) IN NOPA

DAAD contributes to NoPa with the capacities of its head office in Bonn, Germany, and the Brazilian office in Rio de Janeiro.

Under NoPa, the German Academic Exchange Service funds mainly the German side of the project in terms of mobility for PhD students and Postdoc scientists. Additionally, DAAD provides the financial means for staff and small-scale equipment, and allocates special funds for internships in private companies, public institutions and other organizations to build a bridge between research and practice.

*All university projects are commissioned under partial funding, assuming additional funds from third parties like private companies or other stakeholders. The DAAD head office in Bonn implements the financial administration of the German university partners, but because in loco contact is essential for successful international cooperation, most of the negotiations and communication with CAPES is performed by the branch office in Brazil in close collaboration with the responsible staff in Bonn.*

- **Call preparation and publication in Germany**

The selected themes and criteria defined by the GAT are the basis to define the call for projects, formulating the thematic requirements for the research proposals and the following evaluations through international experts. Scientific and technical requirements are integrated to the call for projects according to DAAD standards.

The call is published on the DAAD website and sent to the various networks, institutes and relevant universities in the organization's contact pool. The call closes two months after publication. During this time, the DAAD team in Bonn supports applicants by providing consultation on financial planning and the objectives of the NoPa Program.

- **Selection process**

As selection processes are one of DAAD's core competencies, this part was mainly organized and implemented by the German side. The submitted research project proposals are audited by DAAD for compliance with formal criteria, including whether they have an official partner on the Brazilian side. An international scientific committee then selects the proposals according to their adherence to call requirements and considering the

GAT pre-evaluation. CAPES also shortlists project proposals according to its criteria. The German and Brazilian partners then meet to issue a joint decision on which proposals are to be funded by the Program.

- **Project management / financial administration**

The staff in Bonn is in permanent contact with project coordinators in Germany or Brazil to make sure projects are on the right track towards their objectives. Impact monitoring mechanisms are developed in cooperation with GIZ to bring research results into use.

Financial administration and project management are implemented according to DAAD standards and German funding regulations. Funds are channeled from the German Federal Ministry for Economic Cooperation and Development (BMZ) through GIZ to DAAD and, finally, to the universities. Because the flow of funds involves three partners, detailed financial planning is essential and supervised by DAAD. During project implementation, universities get funds appropriate to their needs and according to the expenditure plan. Additionally, simultaneous funding from Germany and Brazil is necessary for successful project implementation. In that sense, project coordinators on each side are asked to keep in mind the different administration regulations of DAAD and CAPES when planning events or meetings to secure financial means in time.

- **Support to NoPa events**

International scientific conferences, matchmaking events and fact-finding missions and are one of DAAD's main networking tools. In that context, DAAD has organized a number of such events under NoPa. For instance, a kickoff meeting was held in Bonn in the first phase of the Program, gathering German scientists and partners from GIZ Brazil, who presented their special role and offerings within NoPa. A follow-up meeting and a final conference after project implementation were also supported by DAAD. Specific funds were reserved in advance for networking actions and events.

The initiation of the NoPa program, especially the organization of the matchmaking events, also counted on the support of the German House for Research and Innovation (DWIH) in São Paulo. DWIH is coordinated by the German-Brazilian Chamber of Commerce and Industry in São Paulo (AHK São Paulo) and DAAD. Being close to AHK São Paulo facilitated the contact between Brazilian and German research institutions and companies, and



helped increasing Brazil's potential for innovation (particularly São Paulo as the biggest German business location outside Germany).

In addition to administration procedures in higher education projects, DAAD has a vast experience in academic cooperation, especially with developing and emerging countries, as is the example of the extensive excellence program EXCEED, which involves a multitude of universities. Moreover, DAAD has not only initiated a large number of postgraduate courses of high relevance to developing countries, but also subject-related partnerships with institutions of higher education in these countries. DAAD has also supported the foundation of several German universities abroad.

DAAD is engaged in quality assurance with both centralized and decentralized anchoring in universities abroad. This has advanced the development of stable structures and processes. In this context, several trainings in higher education management (DIES) for participants from all over the world are offered and assignments of German scientists at higher education institutions in developing countries are fostered through DAAD's Advisory and Consultancy Program. DAAD's University-Business Partnerships program with higher education institutions and business partners allows for knowledge transfer and promotes closer ties between universities and the industry, thereby bridging the gap and strengthening the dialogue between university graduates and business communities.

Alumni in the entire world and a network of branch offices and information centers maintain DAAD's global presence. Networking with major players involved in higher education policy and development cooperation provides effective support to universities and helps ensure the sustainability of numerous projects and reforms. Against this background and with DAAD's experience in quality assurance, monitoring and evaluation, the organization contributes to the successful implementation of all NoPa projects..

### ***ROLE OF THE DEUTSCHE GESELLSCHAFT FÜR INTERNATIONALE ZUSAMMENARBEIT (GIZ) GMBH IN NOPA***

GIZ provides the technical cooperation dimension to NoPa, using its expertise in the field and making its networking capacity available to promote innovation by building better connections between research, policy and practice.



## **BUILDING PARTNERSHIPS WITH DECISION-MAKERS IN POLICY AND PRACTICE**



Establishing solid partnerships from the beginning and aligning research with practical demands are key to connect the academia to potential users in the private and public sectors. To that effect, GIZ organizes and facilitates contacts and dialogue with partners in ministries, agencies, companies and the civil society in all phases of the NoPa Program. This connects research and practice and adds to the existing networks of academic and non-academic partners.

## **COMMUNICATION OF RESEARCH PROGRESS AND RESULTS**



GIZ supports NoPa research projects in communicating their achievements by organizing meetings, conferences and events, and by making a newsletter available to technical cooperation partners in Brazil. Additionally, GIZ offers advice on the development of communication strategy and organizes workshops to showcase research achievements to prospective non-academic users.

## **RESULTS MONITORING**

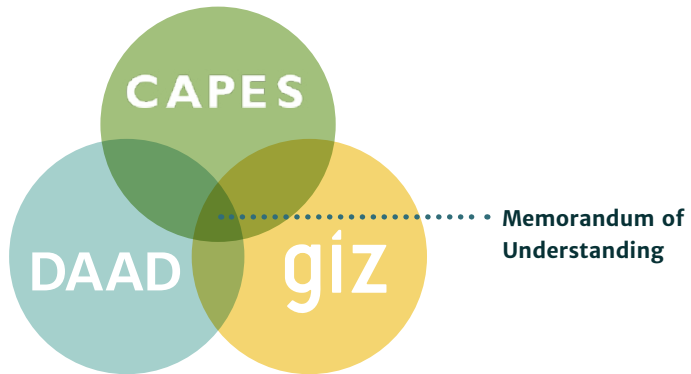


GIZ's technical cooperation efforts are result-oriented to ensure its contribution to sustainable development. Given sufficient thematic overlap, GIZ can include the activities of NoPa research projects in their result monitoring systems, focusing on non-academic impacts. The overall objective is to improve impact monitoring to measure research project achievements and support project management.

## **4.3 DEVELOPING SOLID PARTNERSHIPS**

The involvement of all implementation partners in developing NoPa's concept (including the definition of objectives, corresponding tasks and partner responsibilities) has been key to the success of the Program. Effective communication protocols were established to guarantee an uninterrupted, transparent and effective flow of information among the partners. The outcome of the joint development of the Program was documented in a Memorandum of Understanding between CAPES, DAAD and GIZ, which outlined the use of already established procedures as well as the innovative elements of the partnership and the contributions and responsibilities of each partner.





As the program developed, GIZ, CAPES and DAAD held follow-up workshops to reflect on the lessons learned and adjust the implementation of the program as deemed necessary. Monitoring took place through regular meetings in Brazil, consistent communication and annual meetings between DAAD and GIZ. Additionally, GIZ and DAAD started cooperating in joint result monitoring using a GIZ online tool in the second half of the Program.



#### 4.4 DRAWING ON THE NOPA EXPERIENCE: LESSONS LEARNED ON COOPERATION STRUCTURE AND SOLID PARTNERSHIPS

Successful implementation depends on the use of partners' complementary competencies (GIZ, DAAD and CAPES).

Identifying and understanding the complementary competencies of each partner is a crucial step towards a solid partnership. Therefore, it is important to dedicate time to the joint development of program concepts, including objectives, tasks, responsibilities and communication protocols. The NoPa experience also shows that developing a clear understanding of the financial and administrative procedures and requirements of each partner is a key step at this early implementation stage. Follow-up workshops were held to refine this understanding and adapt program implementation.

Using complementary competencies includes tapping into already established procedures and adding innovative elements to them.

CAPES joined NoPa as an implementing partner in the beginning of the

Program. This not only almost doubled the resources available for the NoPa call for projects, but also connected the Program to the institutional framework of Brazilian research funding. The cooperation between GIZ, DAAD and CAPES obviously profited enormously from the long-standing cooperation between DAAD and CAPES and their tested procedures, like those for the call preparation, project selection, management procedures and monitoring. In that context, procedures already consolidated by the partnerships between DAAD and CAPES were fully applied and complemented with innovative elements in NoPa, like the definition of research topics according to demands from prospective research users, consultation of potential users in the selection of research projects and support for research into use activities.

#### Partnerships profit from joint monitoring.

Joint activity and impact monitoring was not formalized in the first phase of NoPa but took place through frequent meetings and regular communication between DAAD and GIZ. At a later stage in NoPa, GIZ and DAAD started cooperating in joint impact monitoring using GIZ's online tool.

#### Building an institutional framework and developing innovative instruments require additional funding.

NoPa's slightly higher costs in comparison to other research funding programs are justified by greater impact. The value added to cooperation between Brazil and Germany and the contribution to innovation in both countries is proof of NoPa's significant impact and can be seen in the relatively high number of proposals (29) submitted to CAPES and DAAD in NoPa's first call for projects. Another positive result of the resources invested in the Program is, obviously, the solid partnership among partners and, particularly, CAPES' contribution to the Program.

A recommendation emerging from the NoPa experience is that specific capacity building for researchers can be a valuable complementary activity. Capacity building programs can focus on project management (including result monitoring) as well as communications topics (working in international partnerships, project management in an intercultural context, stakeholder analysis, and advisory skills for researchers).





TOOL 1 - THEMATIC ADVISORY GROUPS



TOOL 2 - CALL AND SELECTION



TOOL 3 - MATCHMAKING

# 2 THE NoPa TOOLBOX



TOOL 4 – PROJECT MANAGEMENT  
AND MONITORING



TOOL 5 – KICKOFF MEETING



TOOL 6 - FOCAL POINTS  
FROM TECHNICAL  
COOPERATION PROGRAMS



TOOL 7 - RESEARCH-INTO -USE WORKSHOPS





## TOOL 1

# THEMATIC ADVISORY GROUPS

[GRUPO ASSESSOR TEMÁTICO – GAT]

### WHAT DOES IT DO?

Working in partnership from the beginning and orienting research according to the demand of practitioners is a key element to increase the practical use of research results by the public and private sectors. The Thematic Advisory Groups (GAT) bring together representatives of the public, private, civil and scientific sectors, and are a tool to facilitate new partnerships between research and prospective end users. By including the public and private sectors in the preparation of the call for research proposals, the GAT aims to increase the probability of research results being put into practice.

### WHEN TO USE IT?

The function of the GAT is to identify concrete demands for research results within its areas of expertise. Hence, the GAT is the first step of the NoPa approach to connect academic and technical cooperation. GAT members also take part in the selection process by establishing selection criteria, evaluating and commenting research proposals, and forwarding their evaluation to the selection committee. Their involvement in the process promotes solid partnerships between research and practice, making research results more likely to be streamlined to the market.

### WHO IS INVOLVED?

The GAT is composed of representatives from institutions involved in technical and academic cooperation in the partner countries, experts and decision makers from federal ministries and other institutions, as well as other representatives of the industry, academia and the civil society.



## HOW TO USE IT?

### 1. Agree on GAT's role and expected contribution to program preparation

Project partners agree on the role of stakeholders in the preparation of the call for projects. This involves an agreement on the expected input as well as on the timing for the call preparation (*see Box 1*).

### 2. Put the GAT together

Identifying and mobilizing key people in the institutions represented in the GAT is a crucial step that requires personal contacts, institutional networks and time. Additionally, GAT members have to be very well informed of the objectives and operation of the team so they can contribute effectively.

The systematic use of established networks is a key factor to gather the adequate group of stakeholders involved in applied research within their organizations. We recommend bringing on board representatives from policy, practice, the civil society and the academia. Representatives from technical cooperation programs complete the group (15 to 20 people) to ensure the relevance of the research topics and, in the long run, the applicability of research results within their partner networks (*see Box 2*).

Conflicts of interest regarding further application under the call have to be considered. Representatives of a think tank or research institute in the specific field that develops policy advice and innovation projects based on academic research, but not directly linked to ongoing projects at a university, are the most suitable candidates.

### 3. Facilitate the first meeting with appropriate methodology

Professional facilitation is required to achieve the desired results in a one-day workshop. A mix of group work, facilitated discussion and evaluation methodologies is recommended in the agenda in Table 1.

### 4. Other resources: list of possible selection criteria

The list of possible selection criteria for research projects (*see Box 3*) provides a useful basis for GAT to define and prioritize selection criteria.





## DRAWING ON THE NOPA EXPERIENCE RECOMMENDATION FOR FUTURE GAT APPROACHES

Demand orientation in NoPa followed a three-step process: First, the thematic areas of cooperation for sustainable development between Germany and Brazil agreed by the two governments pre-defined the research themes eligible for funding under the NoPa call.

In a second step, two GATs (one for each of the two theme areas) defined the core of the NoPa call for proposals. Within the thematic core specified by the GAT, the researchers designed in a third step the individual research projects.

Three variables were used to design the thematic advisory groups:

**1. Group composition:** GAT composition can vary according to a pre-defined thematic scope. For a rather narrow thematic scope, demand is best defined by a homogeneous group of experts in the respective field, whereas a wide thematic scope will probably require a more heterogeneous group of participants with different backgrounds.

**2. Number of participants:** With two broad cooperation areas, NoPa required a GAT with 15 to 20 members. The number of GAT members will vary according to how broad the thematic scope is, with broader scopes typically requiring more people.

**3. Methods used to define demand:** According to the number of participants, one or more face-to-face workshops can be used. Online surveys can also help defining the demand for research.

The process for stakeholder participation in the call preparation was designed as follows: Group composed to cover a rather broad thematic scope (variable 1) with 20 participants (variable 2) working in a one-day moderated workshop (variable 3).



The two GATs consisted of representatives from Brazilian partner institutions involved in technical cooperation between Brazil and Germany and key players in scientific cooperation between the two countries (like the Department for Technology and Science of the Brazilian Federal Ministry of External Relations – DCTEC/MRE); experts and decision makers from federal ministries and other institutions; representatives of the industry, academia and the civil society; CAPES; DAAD; and GIZ.

Representing potential end users, GAT participants contributed in three ways to align NoPa's call for projects with actual demands:

1. They defined the call topics and the selection criteria for the research projects;
2. They participated in the pre-call matchmaking events (for details see chapter on Matchmaking); and
3. They contributed to the selection process by commenting on the summaries of the received proposals using an online survey tool created for this purpose (see chapter on call and selection process).

As the areas defined for the call for projects are also relevant themes for technical cooperation programs, they can tap into GIZ's extensive partner networks since research projects are likely to develop synergies with ongoing technical cooperation activities.

Although identifying the actual demand for research results is the best way to start the process successfully, there is no guarantee that this will result in higher demand for the research results produced under NoPa. Nevertheless, the process raised awareness of the NoPa approach among GAT members; and it represented an innovative approach for the Brazil-Germany academic cooperation.

The GAT approach also proved to be successful when defining research themes in NoPa's rather broad thematic areas. On the other hand, it showed some weaknesses, like relying on a relatively small group of key persons covering a rather broad thematic area. Therefore, we recommend creating adapted models according to the characteristics of the specific call for proposals in question. Specific demands can be shaped by the overall objective (applied research, basic research) and the requirements of the funding institution.

According to these factors, a GAT process for a specific call for proposals will vary in the number of people involved and the thematic scope represented by the participants.

In general, the GAT builds on continuous involvement and personal trust. It is, however, not intended to be institutionalized as a structure working in parallel to existing platforms. In this sense, it is desirable that future GAT approaches link up with existing platforms that act as mediators between research production and research use.

### Article II – Objectives

The objectives of the present phase of the Memorandum are: Constitution of thematic advisory groups that will support the preparation of calls for research by defining demand for research results within the predefined areas. These groups assist the financing agencies in selecting research projects for funding and accompany the projects throughout the implementation process to increase the future use of research results. The groups can consist of experts and decision makers from relevant public institutions and Brazilian ministries, as well as private industry and academia in Brazil and Germany and development agencies (CAPES, DAAD, and GIZ).

**Box 1 – Example: Agreement on Stakeholder Involvement in the MoU between CAPES, DAAD and GIZ**



**1st GAT meeting: Protection and sustainable use of natural resources, 14.03.2011**

**Objectives of the meeting: Defining demand for scientific results and selection criteria for the NoPa Call for proposals.**

Participants: Ministry of Science, Technology and Innovation (MCT), Ministry of the Environment (MMA), Ministry of Agrarian Development (MDA), Brazilian Forestry Service (SFB), Grupo de Trabalho Amazônico GTA, National Confederation of Industry (CNI), Vegeflora Extrações do Nordeste Ltda, University of Dresden (Germany), Technical Cooperation (GIZ, Program: Protection and Sustainable Management of Natural Resources), Brazilian Federal Agency for the Support and Evaluation of Graduate Education (CAPES), German Academic Exchange Service (DAAD).

**1st GAT meeting: Renewable energies and energy efficiency, 15.03.2011**

**Objectives of the meeting: Defining demand for scientific results and selection criteria for the NoPa Call for proposals.**

Participants: Ministry of Science, Technology and Innovation (MCT), Ministry of the Environment (MMA), Petrobras, Eletrobras, Companhia Energética de Minas Gerais (CEMIG), EXCEB/Brazilian Society of Energy Planning, Brazilian Agricultural Research Corporation (Embrapa), The Alberto Luiz Coimbra Institute for Graduate Studies and Research in Engineering/ Federal University of Rio de Janeiro (COPPE/UFRJ), German Technical Cooperation (GIZ – Program: Renewable Energies and Energy Efficiency), Brazilian Federal Agency for the Support and Evaluation of Graduate Education (CAPES), German Academic Exchange Service (DAAD).

**Box 2 – Participants of the NoPa Thematic Advisory Groups (GAT)**

Time	Agenda Item	How	Expected Output
10h–10h30	Welcome address (CAPES, DAAD, GIZ, facilitator)	Flipcharts with objectives, agenda and basic rules for the day, questions on the expectations of participants and their visualisation	Objectives clear, expectations documented
10h30–11h	The NoPa Program	Presentation Powerpoint	Participants know about NoPa
11h–11h30	Introduction of participants	Self presentation with prompting questions	Participants know each other better
11h30–12h	Current challenges and areas of interest possibly demanding further research	Group discussion with visualization of brainstorming and following discussion using Meta Plan cards to prioritize possible themes for the afternoon group work	List of 3–5 possible thematic research areas
12h – 13h Lunch			
13h – 14h30	Prioritization of research themes for NoPa call and drafting of call text for it	Discussion in small thematic working groups	First draft of call text with thematic specifications
14h30–15h20	Definition of selection criteria for call	Input: List of selection criteria; discussion and additions to the list, prioritization of criteria using “5–point evaluation”	List of selection criteria for call
15h20 – 15h45 Coffee break			
15h45–16h15	Summary and Conclusion	Presentation results from small working groups, groups discussion and decision	Final agreement on identified topics and criteria
16h15–16h45	Next steps for GAT (Participation in selection process & matchmaking)	Powerpoint presentation, discussion of questions	
16h15–17h	Evaluation and final remarks	Evaluation form, compare expectations with conclusions	Feedback on workshop

**Table 1 - GAT Meeting Agenda - Definition of demand for research workshop**



### *Scientific Quality*

- 1. Scientific competence** of involved researchers: Projects with the best publication indices are given priority.
- 2. Accuracy:** Intellectual coherence, methodological precision and analytical power; accuracy.

### *Research Management*

- 1. Solid justification of a budget** that complies with the guidelines provided.

### *Partnership Quality*

- 1. Participation of the productive sector:** Those applying for projects in partnership with Brazilian/ German companies that include private funding will be given priority.
- 2. Research cooperation based on equality** among research partners (decision-making power in research cooperation projects, partner management capacity, and participation in planned publications) will be given priority.
- 3. Quality of stakeholder participation** in preparation of proposal and implementation plans: Projects that propose a methodologically sound, strategic approach to interaction with relevant stakeholders will be given priority.
- 4. Gender equality:** Projects that pursue gender equality will be given priority.
- 5. Focus on graduate and PhD researchers:** Projects involving researchers at an early stage of their career in the planning and implementation of the activities will be given priority.
- 6. Linking research and teaching:** Project with the greatest potential positive impact on teaching activities at the universities involved (summer schools, etc.) will be given priority.
- 7. Balanced mobility of lectures:** Projects that foresee balanced lecture exchange will be given priority.
- 8. Building long-term partnerships:** Projects that build upon and/ or contribute to a long-term partnership between the organizations involved will be given priority.

**9. Quality of synergies with existing initiatives:** Projects that show the highest potential for synergies with relevant Brazilian–German technical cooperation programs, existing activities of the bilateral scientific–technological cooperation, academic cooperation between universities, or other relevant programs will be given priority.

**10. Benefit to the cooperation between Brazil and Germany:** Projects that conceptualize the benefit achieved by the Brazilian–German partnership will be given priority.

### *Orientation towards future use of results*

**1. Use of already existing research:** Projects that build upon already existing research in the thematic field will be given priority (evidence of awareness of and appropriate engagement with other work in the field or sub–field).

**2. Dissemination of existing research results:** Projects that lay out clear steps for disseminating existing results for further use by policy and practice will be given priority.

**3. Strategic communication approach:** Projects that include clear and precise procedures to disseminate results, especially to non–scientific target audiences, will be given priority.

**4. Significance:** Scope and expected potential impact or implications of the issues addressed for Brazilian policies, the Brazilian productive sector and other users.

**5. Relevance:** Projects that address relevant questions for Brazilian users will be given priority.

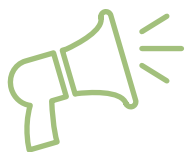
**6. Technological advancement:** Projects with the highest potential for technological innovation will be given priority.

**7. Applicability:** Projects with the highest potential for application will be given priority.

**8. Contribution to capacity building:** Projects with the highest potential for capacity building among its participants and non–scientific actors will be given priority.

**Box 3 - List of Possible Selection Criteria for Research Proposals**





## TOOL 2 CALL AND SELECTION

### WHAT DOES IT DO?

The call for proposals and the selection process are jointly carried out by the academic and technical project partners and the GAT. During both processes, partners keep in mind the concrete demand from research users and the selection criteria prepared during the GAT meeting. Taking the actual demand for research results into consideration increases the likelihood of research results being put into use.

### WHEN TO USE IT?

DAAD and CAPES publish the call for projects in Germany and Brazil, respectively, using their websites and networks. Research projects can apply 45 to 60 days after publication. During the application period, the funding institutions offer consultation to the applying universities regarding financial planning and provide general information about the Program's objectives. Projects are selected within two months after the call is published (see *Graphic 3*).

### WHO IS INVOLVED?

DAAD and CAPES run call and selection. The technical project partner and GAT members are advisors to the academic side and comment on proposal summaries.

### HOW TO USE IT?

DAAD and CAPES publish the call for projects in their respective countries and according to their respective standards and procedures. Applying



universities and institutes submit proposals to each of the funding organizations. The call does not specify amounts to be allocated per project. In fact, applicants can choose from different funding modules and submit their financial planning according to project requirements and preset lump sums or calculation bases (see Box 4).

DAAD and CAPES share the responsibility to select proposals and conduct the process according to their standards and procedures. They preselect proposals before making a common decision regarding the distribution of funds. GAT members review and shortlist proposals in compliance with the formal criteria. Finally, DAAD and CAPES coordinate a joint selection process based on scientific rigor, potential for technical innovation, demand-orientation and other factors. Final selection is carried out by a joint committee and considers the GAT pre-evaluation.

Another innovative element is the contribution of potential research result users to the selection process. GAT members evaluate proposal summaries (using a web-based tool created for this purpose) against selected call criteria, like level of stakeholder participation, non-academic outreach activities and other characteristics that influence future impact on policy and practice, using a scale from 0 to 4. Additionally, potential users are encouraged to comment and make recommendations. Qualitative comments and recommendations can be particularly helpful in the selection process



## DRAWING ON THE NOPA EXPERIENCE LESSONS LEARNED ON CALL DESIGN, APPLICATION AND THE SELECTION PROCESS

### Funding modules

One of the main lessons learned from the NoPa experience is that calls in each of the partner countries should comprise similar funding modules regarding, for instance, equipment, laboratory infrastructure or coordination staff. Providing equal access to funding for research partners in the partner countries facilitates cooperation between the researchers and contributes to a more balanced partnership. Also, the distribution of funds should be flexible to allow research projects to respond easily to the demands of potential users of research results.



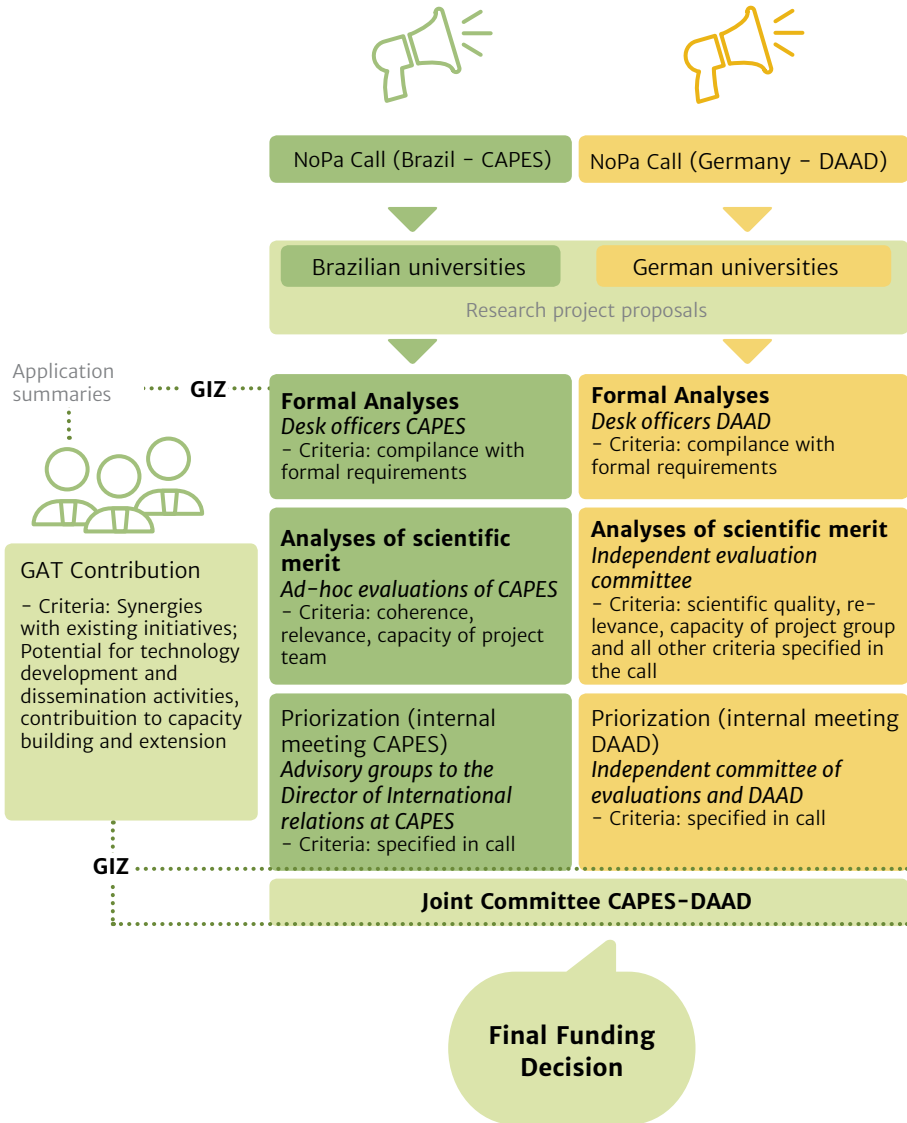
Another lesson learned indicates the productive sector's need for targeted funding opportunities to fill the gap between "research production" and "transformation of research into innovation". The Brazilian participants characterized establishing closer links between universities and companies as a challenge imminent to Brazil. In line with this lesson, some other challenges arise regarding potential conflicts of interest in the cooperation between university researchers and private companies in terms of access to information, imbalanced power relations with regards to juridical questions of intellectual property rights and incompatibility of academic and productive sector carriers.

### **Selection process**

It is recommended that funding agencies share the proposals received, so that they are able to evaluate a proposals in light of the binational research project in question. This practice would facilitate an even more qualified evaluation of the proposals.

According to the NoPa experience, quality and impact of the participation of demand-side actors in the selection process can be increased by at least three measures:

- 1.** The demand-side actors receive a more detailed summary of the proposals;
- 2.** The applicants are better informed of the purpose of the extract paper they are asked to submit together with their proposal, so that they can address demand-side actors specifically;
- 3.** The applicants for one research project are asked to produce a joint summary of their respective proposals to each of the funding agencies.



Graphic 3 - Selection of Research Proposals



1. Defining funding modules and the maximum rates or lump sums, taking into account the German funding regulations (BRKG etc.), the special conditions in the respective foreign countries and the program objective.
2. The specifications should allow applicants to define a complete budget based on the call.
3. Defining the maximum funding per proposal corresponding to the special objectives of the program.
4. Deciding on funding distribution between the financing agencies. For the NoPa Program, DAAD also funded domestic flights for Brazilian experts and staff costs since CAPES did not cover these expenses.
5. Earmarking funds for networking events, public relations and M&E.
6. Defining funding contract modalities between DAAD and the universities (options: partial funding, full funding etc.) NoPa used a partial funding model (*Fehlbedarfsfinanzierung*), which implied co-funding by third parties. Applicants were asked to mobilize third party funds in addition to their own. In case applicants did not count on such funds, they were required to start acquisition.
7. Defining application criteria and required documents. NoPa requested a one-page summary of the whole project for evaluation by the GAT.
8. Publishing the call and keeping it open for applications for two or three months to give applicants enough time to participate in matchmaking events, define their projects, finalize agreements with their partners and acquire third-party funds.
9. Reviewing technical and logistic issues such as regulations for research visa, immunizations, money-transfer, insurance and others.

**Box 4 - Steps for Preparing the Financial and Formal Aspects of a Call – DAAD Example**



Deutscher Akademischer Austausch Dienst  
German Academic Exchange Service

### **Call for applications for the support of multidisciplinary research cooperation between Brazil and Germany (NoPa)**

With this call for applications, DAAD offers funding for joint research projects and for the implementation of the research results within the society and economy of Brazil and Germany. German universities are eligible to apply in conjunction with Brazilian universities. The focal areas of research are: “Sustainable Management and Protection of Tropical Forests” and “Renewable Energy and Energy Efficiency”. The funding period is from November 2011 to December 2013.

The program is named “NoPa”: Novas Parcerias: Cooperação Acadêmica e Técnica entre Brasil e Alemanha / New Partnerships: Linking Academic Cooperation with Technical Cooperation. NoPa is a contribution of the German Federal Ministry for Economic Cooperation and Development (BMZ) to the 2010–2011 Brazil–Germany Year of Science, Technology and Innovation and will be implemented jointly by CAPES (Coordenação de Aperfeiçoamento de Pessoal de Nível Superior/Coordination for the Improvement of Higher Level Personnel), GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH) and DAAD together with DCTEC/MRE (the Division of Science and Technology of the Brazilian Ministry of External Relations).

Details of the general themes are outlined below according to the results of a demand/needs analysis conducted with a mixed group of decision-makers from the Brazilian public, productive and academic sector and representatives of civil society who worked on these issues with German representatives and experts. They will accompany the research cooperation projects. Interaction between research and implementation shall be strengthened.

Scientists from Germany and Brazil are invited to propose multidisciplinary research cooperation projects between German universities, Brazilian universities and research institutes with the participation of Brazilian and/or German companies.



## 1. BACKGROUND

Brazil and Germany are strategic partners in addressing global challenges. Brazil set ambitious goals by ratifying the National Plan on Climate Change in 2009. Through Technical Cooperation, Brazil and Germany cooperate to achieve national and global goals in climate protection in two major focal areas: “Sustainable Management and Protection of Tropical Forests” and “Renewable Energy and Energy Efficiency”.

An important strategy to achieve these important goals is to promote innovative research and scientific development. The NoPa program aims at enhancing collaboration between Technical Cooperation and Academic Cooperation to promote innovative solutions and their use in both the public and private sectors.

The NoPa project is a contribution of the German Federal Ministry for Economic Cooperation and Development (BMZ) to the 2010–2011 Brazil – Germany Year of Science, Technology and Innovation and is being implemented from November 2010 to December 2013 by CAPES, GIZ and DAAD together with DCTEC/MRE.

## 2. OBJECTIVES

The NoPa Project has two major objectives:

1. To implement academic cooperation between Brazil and Germany based on the demands of both the public and private sectors in the focal areas “Sustainable Management and Protection of Tropical Forests” and “Renewable Energy and Energy Efficiency”.
2. To establish good practices for the collaboration between Technical Cooperation and Academic Cooperation to effectively connect the demand and the supply of scientific results.

Interaction of the researchers with partners from the public and private sectors shall be enhanced. DAAD and GIZ will help the cooperation partners with monitoring and support for establishing contacts in this regard.

### 3. RESEARCH THEMES

Applications have to focus on research and innovation in one of the following fields:

#### 3.1 Renewable Energies and Energy Efficiency

1) Technologies and processes for increasing the contribution of renewable energies to the energy matrix of Brazil to feed into the national grid as well as for generation, storage and distribution of energy in remote and isolated areas. The sources of renewable energies under consideration in this call are the following:

- a) Biomass
  - i) Use of residues
  - ii) 2nd generation biofuels
  - iii) Energetic use of forest plantations
- b) Hydrogen batteries
- c) Wind energy
- d) Thermal and photovoltaic solar energy

2) Technologies and processes to increase the energy efficiency, like for example:

- a) Smart-grid
- b) Consumer behavior and change of behavioral patterns
- c) M&V – measurement and verification
- d) Development of more efficient technologies for equipment and processes in buildings
- e) Efficient water-use, re-use and reduction of water losses due to evaporation
- f) Energy storage
- g) Heat recovery and power generation from waste heat: exhaust gases, heat exchanger
- h) New information technology: Modelling, forward contract, simulation

3) Evaluation and recommendations for policies for energy efficiency and energy planning based on an integrated vision of all energy resources available and considering crosscutting aspects like for example: economic, engineering, public policy and environmental aspects:



- a) Instruments for reducing climate change
- b) LCA (Life Cycle Assessment)
- c) Education for changing consumer behavior

### **3.2 Protection and Sustainable Use of Tropical Forests in the Amazon Region**

#### 1) Forest management

##### a) Forest management / wood products

Research to develop new technologies, machines or equipment to process and to use tropical wood, including under-used species, envisaging the increase of the intensity of use of forest resources including waste and side-products to increase the yield per tree of tropical wood.

##### b) Forest management / non-wood products

Research to develop non-wood products and production processes for these.

#### 2) Valorization of socio-biodiversity

##### a) Innovation and technology

Evaluation, adaptation and/or development of processes and innovative technologies for new, value-added products from the biodiversity of the Amazon region.

##### b) Economic instruments

Development of pilot projects for applying financial mechanisms as incentives for the protection and sustainable use of Amazon socio-biodiversity / payment for ecosystem services in the context of climate change.

#### 3) Local sustainable economies and productive chains

##### a) Value chains:

Sustainable economic alternatives through structuring of the productive chains for non-wood and wood products from the Amazon region's socio-biodiversity.

##### b) Local Productive Arrangement (Arranjos Produtivos Locais – APLs):

Income generation and value aggregation, attraction of investments and new actors in APLs (Arranjos Produtivos Locais – APLs), envisaging local development, sustainable use of natural resources and reduced pressure on the Amazon forests.



#### 4. ELIGIBLE INSTITUTIONS ON THE GERMAN SIDE

German institutions of higher education are eligible to apply.

#### 5. SELECTION CRITERIA

The applications will be evaluated on the basis of scientific quality and merit, quality of the applying institution and staff involved, quality and conclusiveness of the proposal itself and feasibility in financial and technical terms. Furthermore, the assessment of the applications will take the following criteria into account:

##### **Highest priority will be given to:**

- **Applicability:** Projects with the highest potential for technological innovation and positive impact on technical progress.
- **Participation of productive sector:** Those applying for projects in partnership with Brazilian / German companies that include private matched funding will be given priority.
- **Quality of synergies with existing initiatives:** Those projects that show the highest potential for synergies with the relevant policies or programs of the Brazilian government and/or Brazilian-German technical cooperation programs, existing activities of the bilateral scientific-technological cooperation and/or academic cooperation between universities.

##### **High priority will be given to:**

- **Strategic approach to research communication:** Projects that include clear and precise procedures for dissemination of results especially to non-scientific target audiences.
- **Contribution to capacity building:** Projects with the highest potential of capacity building among its participants and extension for non-scientific actors. (Especially relevant for proposals in the thematic area: Protection and sustainable use of tropical forests in the Amazon region.)
- **Interdisciplinarity:** Projects that are based on interdisciplinary research are given priority. (Especially relevant for proposals in the thematic area: Renewable energies and energy efficiency.)
- **Potential for energy gain** (Especially relevant for proposals in the thematic area: Renewable energies and energy efficiency.)



- **Quality of stakeholder participation** in preparation of proposal and plans of implementation: Project that propose a methodologically sound and strategic approach to interaction with relevant stakeholders.

**Priority will be given to:**

- **Linking research and teaching:** Projects with the greatest potential positive impact on the teaching activities at the universities involved (summer schools etc.) and inclusion of graduate and doctoral students in the proposal (Especially relevant for proposals in the thematic area: Renewable energies and energy efficiency).
- **Equality between the research partners:** Projects that share decision-making power, value the different management capacities of each research partner (Especially relevant for proposals in the thematic area: Protection and sustainable use of tropical forests in the Amazon region.).
- **Use and dissemination of already existing research:** Projects that show lead on already existing research and/or lay out clear steps for disseminating existing results for further use by policy and practice in the thematic field of the call (Especially relevant for proposals in the thematic area: Protection and sustainable use of tropical forests in the Amazon region).

Further requirements:

- Willingness to (pro-) actively interact with potential research users in Brazil especially with the Advisory Group (GAT) and the programs of the bilateral development cooperation programs implemented by the Brazilian government together with GIZ and KfW is a precondition for applying for funds under this call.
- Cooperating with GIZ programs for impact monitoring of the projects

## 6. DAAD FUNDING

Each project will receive funding from the German (DAAD) and the Brazilian (CAPES) side.

The DAAD supports mobility for professors, researchers, doctors and graduated students (internships in Brazilian companies) from Germany. Funding for the Brazilian side is published by CAPES . Material expenses for the research work and allowances for the participation in symposia

are included in the call. In order to communicate the results of the common research there are funds as well to organize conferences, seminars or summerschools. Participation in trade fairs is desired. The cooperating universities receive funding for project coordination staff and for public relation.

There is no need to apply for the full range of funding components of the program. Applications including only several elements, according to the specific needs in the cooperation, are welcome. The maximum amount for funding will be Euro 590.000 (German side) over the funding period (November 2011 – December 2013). In order to fund a wider range of cooperation projects, applications with a tight calculation – resting below the maximum amount – are desirable.

The funding rates of the NoPa program are based on the DAAD standard programs.

### **1) Research stay of German scientists in Brazil**

Travel and accommodation expenses

a) Scientists (Postdocs and Professors)

i) Accommodation expenses to the extent of € 3509 per month

ii) Travel costs lump-sum according to the DAAD's standard funding (up to € 1250, depending on the duration of the stay in Brazil)

b) Ph.D. student

i) Accommodation expenses to the extent of € 1100 per month

ii) Travel costs lump-sum according to the DAAD's standard funding (up to € 950, depending on the duration of the stay in Brazil)

### **2) 3-month Internship in Brazil**

Scholarship and travel expenses

a) Scholarship of € 425 per month. Extension up to 3 month

b) Travel costs lump-sum according to the DAAD's standard funding (€ 900)

### **3) Human resources at the German university for project coordination and public relation Salary and travel expenses for meetings**

a) Employer gross costs of a part time position for coordination

b) Travel costs lump-sum according to the DAAD's standard funding



#### **4) Costs for meetings, conferences, seminars, summerschools and participation in trade fairs**

- a) Seminars and meetings to the extent of € 20.000
- b) Big conferences and summerschools (for example with a participation in a trade fair) to the extent of € 80.000
- c) expenses have to be economical and are limited in the following area:
  - i) remuneration for speakers up to Euro 250 per day
  - ii) accommodation expenses for the participants up to Euro 95 per day
  - iii) travel expenses (economy class)

#### **5) Material expenses for research work and allowances for the participation in symposia**

- a) Material expenses to the extent of € 4000 per scientists in the project per year
- b) Allowances for the participation in symposia (conference fees, travel and accommodation expenses) to the extent of € 6000 for the cooperation partners in the project overall per year.

Note: Depending on a case by case decision minor scale funding in others than the above mentioned categories can be supplied, if it is relevant for the project outcome and well justified. This includes also partial funding for coordination of the project within the Brazilian university. Please contact the DAAD before the application, to assure compliance with existing regulations.

### **7. LENGTH OF FUNDING AND APPLICATION DEADLINE**

The funding period is from November 2011 to December 2013. The application deadline is 15 August 2011.

### **8. APPLICATION PROCEDURES, FORMS AND CONTENTS**

Please submit your application via the DAAD's online portal. You must fill out the application cover sheet and financial plan there, (the funding rates serve as orientation) and attach or upload the following **application documents in English:**

- A detailed project description that
  - a) contains a plan of the work and measures to be carried out over the entire project period, including the schedule and order in which all planned measures are to be implemented,
  - b) specifies the expected results of the project with the goals defined

and explained in sufficient detail to allow performance testing to be carried out,

c) includes a 0.5–1 page summary of the proposal for consideration by the Advisory Group. Make sure that the summary considers the projects approach to meeting the special selection criteria.

d) provides details on the required human resources

- Where appropriate, a brief descriptive outline of the applicant's other projects and activities, both completed and in progress, which in terms of content or through participating partners are connected with or relevant to the present project

- Documents that demonstrate the mutual willingness of the German and Brazilian partners to actively engage in the realisation of project goals. Such a partnership agreement should be signed by the direction of the cooperation universities.

- A brief summary of the complementary application of the Brazilian partner

- The calculation basis must allow detailed verification and be oriented along the DAAD funding rates according to the information in this call. DAAD offers advise (contact below), if needed.

## 9. FUNDING DECISION AND APPROVAL OF FUNDS

An independent, international selection committee comprised of relevant academics and experts in the field, plus representatives from the German and Brazilian funding institutions is responsible for deciding on the award and the amount of funding. Two Thematic Advisory Groups, consisting of the MRE/DCTEC, experts and decision makers from federal ministries and other institutions, representatives from the industry and scientific sectors as well as from civil society, CAPES, DAAD, GIZ Brazil, will also advise the selection process and interact with the researchers in implementation and dissemination of results.

The DAAD office plans to announce the funding decision in October 2011. Funding of the DAAD is awarded in the form of an endowment contract between the DAAD and the participating German institute of higher education. The Funding is subject to the provision of budgetary resources by the BMZ and CAPES (for the Brazilian partner of the project).

**Bonn, June 2011**





## TOOL 3

# MATCHMAKING

### WHAT DOES IT DO?

The matchmaking tool has many purposes in the interface between research, policy and practice. Its direct objective is to gather research partners (universities, research institutes, companies, policy makers, etc.) to promote new partnerships. Additionally, matchmaking events can connect players from the sides of supply and demand for research results early in the process, consolidating networks and providing for a smoother flow of information. In this context, NoPa's matchmaking tools contribute to disseminate knowledge and generate concrete innovation by linking different segments of the society with the academia.

### WHEN TO USE IT?

The matchmaking events take place shortly after the research funders publish the call for projects. This gives participants the opportunity to initiate research partnerships and submit joint proposals.

### WHO IS INVOLVED?

The matchmaking events are organized and carried out by the technical project partner. Academic partners contribute by financing and organizing the participation of researchers from their respective countries. Depending on the technical project partner's resources, it can delegate part of the organization to other implementing agencies.

## HOW TO USE IT?

### ORGANIZATION



Create an on-line matchmaking platform and mobilize participants via partner networks.

Publish a matchmaking event website with the schedule, application form, display of registered participants' profiles, logistic information (transportation, hotels, and venue), information on poster sessions and on existing financial support at least three months ahead of event.

Access existing networks to ensure key participants register early to initiate a snowball effect on registrations.

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One month ahead of the event, send matchmaking schedule to registered participants so they indicate who they would like to meet.

Plan facilitation and translation services.

Print participant profiles and post them at the entrance of the venue. When participants arrive, take their picture and attach it to the profiles.

Prepare an interactive schedule for individual meetings and post it on the event's website.

Plan round-table or panel discussions to promote interaction among players on the research and practice sides.

Prepare presentations on alternative funding opportunities that could match the call for proposal.

Prepare poster exhibition.



## DURING THE EVENT



Use a format that allows participants to mingle and schedule individual or group matchmaking meetings in addition to those pre-arranged on the website. You could use “speed dating” round tables. Participants can introduce themselves to one another at their own table for 2 minutes. After all participants at one table have introduced themselves, the participants rotate to a second table where they have the chance to introduce themselves to a new group. At the end of each introduction round, the participants can use their individual schedules to arrange matchmaking meetings.



Encourage participants to update the meeting schedule. Provide on-demand support to individual matchmaking, working groups, translation and facilitation.

## AFTER THE EVENT



Make follow-up information available on the website.

Monitor impact on the establishment of research partnerships, quality and quantity of submitted proposals.



### **DRAWING ON THE NOPA EXPERIENCE LESSONS LEARNED ON EVENT DESIGN AND IMPLEMENTATION**

NoPa held two matchmaking events to facilitate new partnerships between German and Brazilian universities, research institutes, companies, research funders and potential research users. The events had the following three objectives:

1. Enhance existing cooperation and facilitate new cooperation between German and Brazilian universities, research institutes and companies in view of preparing applications for the NoPa call for research;
2. Provide information on alternative research funding opportunities in the theme areas; and



**3.** Facilitate dialogue among researchers, research funders, the industry, political decision-makers and the civil society in order to strengthen research demand-orientation.

The matchmaking event on Tropical Forest Protection and Sustainable Forest Management held in Belem had 81 participants; and 71 people participated on the Renewable Energies and Energy Efficiency matchmaking held in Rio de Janeiro.

- 55% of the participants came from Brazilian/ German universities and Brazilian research institutes;
- 15% represented the industry (companies and rural producers);
- 12% were representatives of federal and state governments; and
- 18% were representatives of technical cooperation and research funding organizations.

The participants stated the event was a great opportunity to build new partnerships and initiated between 2 and 20 new contacts.

As a result, the NoPa call received 29 proposals. Over 50% of the German researchers participating in NoPa's matchmaking events submitted a proposal to DAAD. Out of the eight selected research cooperation projects, six participated in the NoPa's matchmaking events. Three of these six research teams first got together in the events.

Each matchmaking event consisted of a two-day conference and a field trip on the third day. Individual or group matchmaking meetings (usually 30 minutes) took place during the conference days, as did presentations and panel discussions. Participants could access profile information of all participants and pre-arrange meetings on the website. During the conference, participants received all the support necessary so they could meet their matches in working groups. Profiles with mugshots and conference schedules updated in real time were available to all participants. Everybody used the available time and structure for individual and group matchmaking meetings. The poster session provided additional opportunities for discussions on topics of common interest.

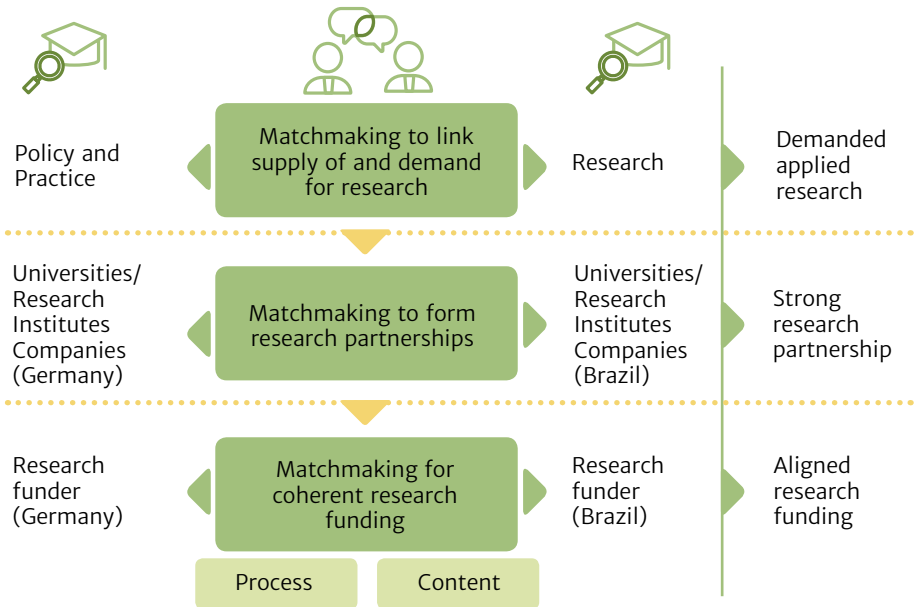
Presentations of research funding programs in the theme areas were also available to provide relevant information on how new matches may establish



partnerships in research projects. One of the funding opportunities presented was the NoPa call itself. Participants also attended presentations on other funding programs, and researchers sought individual coaching from funding institutions during the event. A round table discussion on the challenge of designing, implementing and using results of demand-oriented research offered a platform for sharing insights and analyzing recommendations for NoPa. The field trip on the third day provided yet another opportunity for discussion on the basic challenges involving the production and application of research results.

Another important lesson learned was that pre-call matchmaking is a valuable tool for demand-oriented research projects. The main strength of NoPa’s matchmaking events was the structured support to the conversations the participants were looking for. The networking effect of a conventional scientific and a political event was multiplied and new partnerships were formed. Therefore, the approach and planning tools are recommended for a wider range of audiences and thematic areas (research calls, regional networks of research-politics-practice).

Matchmaking takes place at different levels as illustrated below:



**Graphic 4 - Matchmaking Levels**

<b>PROGRAM</b>	
1st Day All day: Poster Session and Information Fair	
08h – 09h	Registration
09h – 09h10	Welcome and presentation of the program
09h10 – 09h20	Welcome and presentation of NoPa project: GIZ
09h20 – 09h30	Welcome and presentation of NoPa call: DAAD
09h30 – 09h40	Welcome and presentation of NoPa call: CAPES
09h40 – 10h00	Coffee break
10h – 11h45	Working groups: 1. Renewable energy in the Brazilian energy matrix, 2. Energy efficiency, 3. Energy efficiency policies and energy planning
11h45 – 14h	Lunch / Individual Matchmaking
14h – 15h30	Individual Matchmaking / Poster Session
15h30 – 16h	Coffee break
16h – 16h30	Individual Matchmaking / parallel event: “The Returning Experts Program”
16h30 – 17h	Individual Matchmaking / parallel event: “CAPES Funding Programs”
17h – 17h30	Individual Matchmaking / parallel event: “DAAD Funding Programs”
17h30 – 18h	Closing session



<b>PROGRAM</b>	
2nd Day All Day: Poster Session and Information Fair	
09h00 – 09h15	Presentation of the program
09h15 – 10h45	Individual Matchmaking / parallel event: Roundtable: Research for sustainable development – How to use “applied research”? To initiate the discussion key statements from GlZ, Petrobras and Cologne University of Applied Sciences
10h45 – 11h00	Coffee break
11h00 – 11h30	Individual Matchmaking
11h30 – 12h00	Panel presentation: “DFG Funding for International Research Collaborations – Instruments and Experiences”
12h00 – 12h30	Panel presentation: “Further funding programs – BMBF & European Union”
12h30 – 14h00	Lunch
14h00 – 17h00	Individual Matchmaking (including Coffee Break: 15h30 – 16h00)
17h00 – 18h00	Closing session and evaluation

<b>PROGRAM</b>	
3rd Day	
09h00 – 16h00	Technical visit: Eletrobras Electric Energy Research Center (CEPEL)

#### Box 6 – Program of the Matchmaking Event in Rio

# Novas Parcerias

## Matchmaking Evaluation Form

1. Name: \_\_\_\_\_

2. Country: \_\_\_\_\_

### 3. What institution or sector do you represent?

- University                       Company  
 Research Institute            NGO  
 Research Funder            Other. Which? \_\_\_\_\_

### 4. How many meetings did you participate in during the matchmaking event?

- 0                       4 - 6                       Über/ Acima de 10  
 1 - 3                       7-9

If you haven't participated in any meeting, why was that?

\_\_\_\_\_

### 5. Are you going to apply with a research project?

- Yes                       No

If you do not intend to apply, can you briefly tell us why?

\_\_\_\_\_

\_\_\_\_\_

### 6. Do you think participating in the event has been relevant to you and your institution?

- Yes. Why? \_\_\_\_\_  
 No. Why? \_\_\_\_\_



### 7. Has the event met your expectations?

- It hasn't.                       It has.                       It has exceeded my expectations.

What could we improve? \_\_\_\_\_  
\_\_\_\_\_

### 8. What is your opinion of the round-table discussions?

- It was neither interesting nor relevant to my work.  
 It was interesting, but not relevant to my work.  
 It was both interesting and relevant to my work.

Comments: \_\_\_\_\_  
\_\_\_\_\_

### 9. What is your general opinion of the structure and logistics of the event (venue, organization, interpretation services, etc.)?

- Not bad.                       Good.                       Very good.

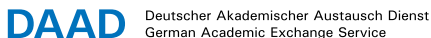
Comments: \_\_\_\_\_  
\_\_\_\_\_

10. Would you like to make any other comment or suggestion?

\_\_\_\_\_  
\_\_\_\_\_

### Thank you very much for joining us!

We'll be happy to receive further comments at [contact@nopa-brasil.net!](mailto:contact@nopa-brasil.net)





# TOOL 4

## PROJECT MANAGEMENT AND MONITORING

### WHAT DOES IT DO?

Research funders support projects throughout the implementation phase and monitor the scientific progress achieved by universities and research institutes. According to their respective regulations and procedures, they offer support and advice on different aspects of international research cooperation, such as contracts, insurance and money transfers. Technical project partners, in their turn, monitor the outcome and impacts of the Program to ensure successful implementation.

### WHEN TO USE IT?

During implementation, project management and monitoring are important tools to make sure projects stick to the plan submitted to the selection committee.

### WHO IS INVOLVED?

Implementation is monitored at different levels. Academic project partners monitor input, activities and output of the universities and research institutes, while technical project partners monitor the outcome and impacts of the program.

### HOW TO USE IT?

Projects are commissioned through partial funding, assuming funds from private companies or other stakeholders (third-party funds). Academic



project partners are responsible for the financial management of the projects in their respective countries. This is carried out according to the standards of each funding agency and the terms of funding regulations in force in the applicable country. Funds are transferred to universities according to their needs and activities and based on the expenditure planning as per the contract between the project partners.

Simultaneous flow of funds from each partner country is necessary for successful implementation. In that sense, it is a challenge for cooperation projects to timely secure financial means for the planned activities, considering the different administration regulations of both academic project partners and funding agencies.

Universities submit reports in a financial audit after each year. Additionally, a report of all activities (internal meetings, workshops and training sessions), participation at fairs and international conferences, and the use of funds during the year is required to keep the academic project partners up-to-date. The most important element for successful monitoring, however, is the close and permanent communication with the coordinating staff from the participating universities.

Technical project partners monitor the impact indicators agreed with the funding agencies or ministries. Online monitoring tools can be used for that purpose. Academic partners can support result and impact monitoring, focusing on the academic impacts of research projects by providing the monitoring tool with relevant information.





## DRAWING ON THE NoPa EXPERIENCE LESSONS LEARNED ON JOINT MONITORING AND MEASUREMENT OF NON-ACADEMIC IMPACTS

Formal monitoring mechanisms used jointly by DAAD and CAPES do not yet exist due to different administration procedures and methods. The branch office in Brazil represented DAAD in most negotiations and communications between CAPES and DAAD regarding the implementation of NoPa, relying mostly on personal contact to do it. Furthermore, periodic working meetings were held between GIZ, DAAD Brazil and CAPES.

As part of DAAD's project management, meetings were organized with German university partners, in which GIZ in Brazil seized the opportunity to present its role and contribution to NoPa. DAAD and GIZ also organized a follow-up meeting and a final workshop at the end of project implementation. Special funds were allocated in advance for these networking measures and events.

The NoPa online portal was developed to foster networking, knowledge exchange and the dissemination of research results. Additionally, most of the universities published their projects on their university website. We recommend such an online platform be available from the beginning.

Monitoring the non-academic impacts of the research projects funded by the NoPa call is a particular challenge. GIZ and the university partners addressed this challenge by defining research-into-use indicators for the research projects. In the process, research project managers and technical cooperation experts found the discussion on monitoring and evaluation of non-academic impact extremely valuable to consolidate the new partnerships.





## TOOL 5

# KICKOFF MEETING

### WHAT DOES IT DO?

After the selection process, project implementation starts and is continuously accompanied by a technical dialogue between the researchers and technical project partners to guarantee alignment and future use of research results. In this context, the kickoff meeting gives research project teams, funding institutions and technical cooperation partners yet another opportunity to get acquainted with each other. The event provides technical cooperation programs with a deeper knowledge of research projects so potential synergies can be identified. At the same time, projects are introduced to the philosophy and action plans of the technical cooperation programs so they can identify additional cooperation opportunities.

Additionally, the kickoff meeting provides research projects with a precise picture of the academic and technical project partners and their roles, so researchers know what to expect (and from whom) while they develop their work. Participants also develop research-into-use indicators to measure non-academic impact.

### WHEN TO USE IT?

Once the joint committee selects the projects that will be funded by NoPa, the technical project partner organizes the kickoff meeting. All selected projects are required to participate.

### WHO IS INVOLVED?

The kickoff meeting is organized by the technical project partner and gathers researchers, funding institutions and technical cooperation programs.

## HOW TO USE IT?

Typically, the kickoff meeting is a two-day workshop. A third day may be offered to project teams so they can have more time to refine their implementation plan and work on possible joint activities. An overview of the kickoff meeting is outlined below.

Activity	Content	In charge of
Initial presentation of GIZ (30 minutes)	<ul style="list-style-type: none"> <li>· Introducing focal points and the NoPa team; and</li> <li>· Presenting the schedule and objectives of the workshop.</li> </ul>	NoPa Team
Project presentation (20 minutes per research project)	<ul style="list-style-type: none"> <li>· Projects deliver a short presentation of their general objective, activities and research teams.</li> </ul>	Research projects
NoPa Presentation (60 minutes)	<ul style="list-style-type: none"> <li>· What NoPa is and how it works;</li> <li>· Peculiarities of NoPa in relation to other research foster programs;</li> <li>· Collaboration with the industry;</li> <li>· NoPa partners and their roles;</li> <li>· GIZ focal points and their roles;</li> <li>· What projects can expect from NoPa;</li> <li>· What NoPa expects from research projects;</li> <li>· Impact logic: how it works, indicators of use, monitoring and evaluation;</li> <li>· Communications (website, newsletter, partner logos, factsheets, etc.)</li> </ul>	NoPa Team



Activity	Content	In charge of
Technical Cooperation Project Presentation (60 minutes)	<ul style="list-style-type: none"> <li>• Political background;</li> <li>• Project: objective and action lines;</li> <li>• Planning for the current year.</li> </ul>	Technical Cooperation Project Team
Individual sessions with research project teams (45 minutes each)	<ul style="list-style-type: none"> <li>• As projects teams work on their planning, the NoPa team holds individual sessions with them to clarify any doubts, particularly those regarding:               <ul style="list-style-type: none"> <li>- <i>Focal points: their supporting roles, facilitating contacts, support in events, result orientation, etc.;</i></li> <li>- <i>Impact logic and indicators of use;</i></li> <li>- <i>Project factsheet aimed and the non-academic public; and</i></li> <li>- <i>General project planning.</i></li> </ul> </li> </ul>	NoPa Team
Project planning workshop (about 5 hours in total)	<ul style="list-style-type: none"> <li>• Project teams from both Brazil and Germany work on the following points with support from the GIZ-appointed focal points:               <ul style="list-style-type: none"> <li>- <i>Project teams work on their implementation plan and possible interface with DKT1;</i></li> <li>- <i>Formulating indicators of use;</i></li> <li>- <i>Drafting project factsheets for the non-academic public.</i></li> </ul> </li> </ul>	Research project teams; GIZ focal points
Q&A with DAAD and CAPES (90 minutes)	<ul style="list-style-type: none"> <li>• DAAD and CAPES deliver presentations to clarify their roles and responsibilities under the NoPa Program.</li> </ul>	DAAD/ CAPES (moderated by the NoPa Team)
Project presentation (15 minutes each project)	<ul style="list-style-type: none"> <li>• Projects briefly present tentative dates for their events (RIU workshops, for example) and their plan to cooperate with their focal points.</li> </ul>	Research project teams
Workshop evaluation and closure (30 minutes)	<ul style="list-style-type: none"> <li>• Evaluation of the workshop, way forward and general announcements.</li> </ul>	NoPa Team

**Table 2 - Kickoff Meeting Agenda**



# TOOL 6

## FOCAL POINTS FROM TECHNICAL COOPERATION PROGRAMS

### WHAT DO THEY DO?

The technical cooperation partner appoints focal points to each research project to assist in defining, planning and implementing research in the interface with technical cooperation. The focal points are technical cooperation experts whose job is to support project work, promote knowledge transfer among project partners, and facilitate communication with potential users. In addition to having the technical expertise to contribute to the research projects, the focal points are responsible for adding the technical cooperation element to academic cooperation.

### WHEN TO USE THEM

During the selection process, the focal points evaluate research projects according to their relevance to the productive sector and the different areas in technical cooperation. In addition, they remain in close contact with project teams throughout the entire implementation phase, working as an interface with the industry and in regards to technical cooperation issues.

Most importantly, the focal points play a crucial role in the final phase of the research projects, supporting them in communicating and disseminating the results of their work and enabling further cooperation with research users in both the public and private sectors by using their partner networks.



## WHO IS INVOLVED?

The focal points are experts in their respective fields and act as a bridge between projects and the prospective end users of research results.

## HOW TO USE THEM?

Focal points provide tools and instruments to facilitate the interface of academic and technical cooperation and consolidate long-term research partnerships. These instruments and some examples of possible activities are outlined in Table 3.

During the implementation of research projects, focal points, project coordinators, universities and the technical project partner share responsibilities aligned with NoPa's overarching goals. Each stage of project implementation has its respective milestone tied to specific outcomes to facilitate the monitoring of the implementation of the research project (see Table 4).

In the final phase of implementation, projects are required to hold research-into-use workshops involving research teams and potential end users. The focal points play a crucial role in preparing and conducting the workshop, supporting research teams in communicating and disseminating the results of their work and enabling further cooperation with research users from the public and private sectors (see Box 6).

More specifically, focal points:

- a) Assist research teams in preparing information material and media to communicate research results, keeping in mind their respective target audience;
- b) Invite potential research users to workshops to connect supply and demand; and
- c) Support project teams in presenting research results during the workshop, acting as a commentators or co-presenters.



**Graphic 5 – Focal Point Functions and Activities**



Instruments	Examples
Contributing with information on demand and knowledge of the institutional framework in Brazil	<ul style="list-style-type: none"> <li>• Meetings/direct dialogue between experts from GIZ and university representatives</li> <li>• Contribute to NoPa events</li> </ul>
Facilitating contacts	<ul style="list-style-type: none"> <li>• Identifying people/organizations that might be interesting in research projects and contacting them</li> <li>• Monitoring established collaboration</li> </ul>
Cooperation in communicating and disseminating results	<ul style="list-style-type: none"> <li>• Advice on communication/dissemination of results to non-academic target groups</li> <li>• Joint publications</li> <li>• Use of results for training of non-academic groups</li> </ul>
Cooperation in monitoring non-academic impact	<ul style="list-style-type: none"> <li>• Support research team in developing research-into-use indicator</li> <li>• Internal monitoring of GIZ of non-academic use of research results</li> </ul>

**Table 3 - Focal Point Toolbox: Instruments and Example Activities**



Milestones	Expected Outcome	Responsible
Study information material on research project	The focal point understands objectives, methodology, work plan and expected results of the research project	Focal point
Internal briefing	Analysis of relevance of research project for the industry, defining objectives and possible joint activities	NoPa coordinator and focal point
	Agreement upon resources focal point invests in program; integration with work schedule	
Kickoff meeting	Introduction to focal point concept and presentation of research projects to create mutual understanding	Research teams and focal points
	Joint analysis of the complementarities with universities and understanding how each partner can contribute to maximize positive impact	
	Definition of (preliminary) agreement containing: fixed dates for phone calls/ video conferences/meetings, participation in workshops, etc. <b>Desirable content:</b> definition of joint activities in the four areas of cooperation (facilitation of contacts, guidance, communication & dissemination, monitoring of non-academic impacts)	
Internal briefing	Briefing NoPa coordinator on agreement and planned activities	NoPa coordinator and focal point
Conducting activities according to agreement		Research teams and focal point
Internal briefing	Briefing NoPa coordinator on conducted activities	NoPa coordinator and focal point
Update of agreement / annual planning		Research teams and focal point
Internal briefing	Briefing NoPa coordinator on updated agreement	NoPa coordinator and focal point

**Table 4 - NoPa Implementation Milestones**





## TOOL 7

# RESEARCH-INTO-USE WORKSHOPS

### WHAT DOES IT DO?

The purpose of research-into-use workshops (RIU) is to gather research teams and potential users to showcase research results and plan how to phase them into potential practical use. The objective is to provide both sides with an opportunity to concentrate on their specific situations regarding the introduction of research results into the market for further consolidation and strengthen the dialogue among research, the industry and public sector.

### WHEN TO USE THEM?

The RIU component is implemented through a workshop held by each individual research project at the end of the implementation phase. Projects define a tentative date for their RIU workshops during the kickoff meeting.

### WHO IS INVOLVED?

Research projects plan and conduct their own RIU workshops. The technical project partner and the focal points support them with the workshop methodology and the interface with potential end users.

### HOW TO USE THEM?

Since the concept of research-into-use is to provide a smooth interface between research and potential end users to start introducing the innovation generated by the projects into the market, finding a common language and establishing a mutual understanding among the participants of the RIU workshops is key to its success.

The presentations delivered by research projects aim to provide not only an in-depth understanding of prospective research results and the steps needed to put them into practice, but also the inherent risks and obstacles the product faces prior to market entry. At the same time, the demand side articulates their interests and comments on the feasibility, relevance and innovation level of research results.

Ideally, RIU workshops result in mutual agreements between research teams and the participants from public and private sectors, guaranteeing innovation is introduced into the market for consolidation. The workshop aims to facilitate cooperation between the supply and the demand for technological innovation, promoting a smooth transition and knowledge transfer of research products into the market to the benefit of all involved.

### **Program**

1. Welcome address and introduction (i.e. who, why, how?)
2. Topic and objective of the workshop
3. Find common language/understanding between research projects and potential users of research results
4. Presentation of research project and results
5. Discussion and comments by the group
6. Challenges
7. Agreements between research teams and users of research results from public and private sector
8. Summary of main findings and workshop results
9. Conclusion

**Box 6 - Program of Research-into-Use Workshop**





# 3 PARTNERS





Ministérios das  
**Relações Exteriores**



The Brazilian Ministry of External Relations (*Ministério das Relações Exteriores* – MRE) assists the President in formulating Brazil’s foreign policy; ensures its implementation; maintains diplomatic relations with governments of foreign states, international organizations and agencies; and promotes the interests of the Brazilian State and society abroad. It is currently headed by Chancellor Luiz Alberto Figueiredo (2013).

The primary objectives of the Brazilian Ministry of External Relations is increasing regional integration with Mercosul and other regional and financial organisms. Other important goals include protecting human rights, preserving the environment and promoting international cooperation.

MRE’s Department of Science and Technology (*Divisão de Ciência e Tecnologia* – DCTEC) is in charge of bilateral and multilateral cooperation in the fields of science, technology and innovation. It is NoPa’s key political partner on the Brazilian side, facilitating the political network the program needs to be implemented as a partnership between Brazil and Germany.

MRE works with the Brazilian Ministry of Science, Technology and Innovation (MCTI) in matters pertaining to agreements with the German Ministry of Education and Research (BMBF); and through the Brazilian Cooperation Agency (ABC) in cooperation matters involving the German Federal Ministry for Economic Cooperation and Development (BMZ).

For more information visit [www.mre.gov.br](http://www.mre.gov.br)





The Federal Ministry for Economic Cooperation and Development (BMZ) develops the guidelines and the fundamental concepts on which German development policy is based. It devises long-term strategies for cooperation with the various players concerned and defines the rules for implementing that cooperation. These are the foundations for developing shared projects with partner countries and international development organizations. The BMZ is headed by the Minister Dr. Gerd Müller.

German development cooperation with Brazil celebrated its 50th anniversary in 2013. This development cooperation was restructured in 2006, in order to better reflect the level of development Brazil has achieved and its increased global and regional importance.

The overarching goals of cooperation are the mitigation of climate change and the conservation of biodiversity. The agreed priority areas of cooperation are the conservation and sustainable management of tropical forests and the promotion of renewable energies and energy efficiency. The German government's goal is to develop its cooperation activities with Brazil into a strategic partnership.

The BMZ does not have the usual substructure of government agencies. For the execution of its projects it commissions what are known as implementing organizations. These organizations then work with executing agencies in the partner country concerned, which are selected by the government of that country.

There are just under 800 people working at the Federal Ministry for Economic Cooperation and Development (BMZ). About 75 per cent of them are based at the Ministry's Bonn office, while the others are at the Berlin office. A certain number of staff at the BMZ are regularly seconded from the Ministry for a few years at a time to carry out development policy assignments in various parts of the world. In fiscal 2013, provision has been made for spending in the order of 6,296 billion Euros.

For more information visit [www.bmz.de](http://www.bmz.de)





### *Coordination for the Improvement of Higher Education Personnel*

Established in 1951, CAPES is a foundation within the Ministry of Education (MEC) in Brazil whose central purpose is to coordinate efforts to improve the quality of Brazil's faculty and staff in higher education through grant programs. CAPES is particularly concerned with the training of Doctoral candidates, Pre-doctoral short-term researchers, and Post-doctoral scholars. It plays a key role in expanding and consolidating graduate programs (Master's and Doctor's) in all Brazilian states. Since 2007, CAPES is also active in providing training to basic education teachers, expanding its action scope in building the capacity of qualified personnel in Brazil and foreign countries.

Supporting international research cooperation is another important activity. CAPES has signed bilateral and multilateral research agreements with numerous partner countries. It enhances the qualification of scientists, professors and students by providing them with international mobility, supporting international research networks, and promoting the internationalization of Brazilian universities. In doing so, it provides students, researchers and instructors to take advantage of the best study and research opportunities available, contributes to excellence in Brazilian academia and increases the countries potential for scientific and technological innovation.

CAPES is headed by President Jorge Almeida Guimarães since 2004.

For more information visit [www.capes.gov.br](http://www.capes.gov.br)



# DAAD

Deutscher Akademischer Austausch Dienst  
German Academic Exchange Service

## *The German Academic Exchange Service (DAAD)*

The German Academic Exchange Service (DAAD) is the organization of German higher education institutions and their student bodies devoted to internationalizing the academic and scientific research system. Through its scholarship program, DAAD enables students, researchers and instructors to take advantage of the best study and research opportunities available. It promotes transnational cooperation and university partnerships, and is the German national agency for EU higher education cooperation. Consequently, DAAD supports Germany's foreign cultural and educational policy goals, national scientific policies and development cooperation efforts. In addition to overseeing the International DAAD Academy (iDA), DAAD operates a network of 70 branch offices and information centers, and about 500 lecturers worldwide.

In 2013, the DAAD provided funding to almost 120,000 German and foreign academics around the world. Its measures helped finance foreign study trips for young students, doctoral research, guest lectureships, informational visits and the establishment of universities abroad. DAAD also supports the international activities of German universities through marketing services, publications, events and continuing education measures.

Most of DAAD's operating budget is financed by the German Federal Foreign Office, the Ministry of Education and Research, the Ministry for Economic Cooperation and Development, the European Union, businesses, organizations and foreign governments.

For more information visit [www.daad.de](http://www.daad.de)



The services delivered by the *Deutsche Gesellschaft für Internationale Zusammenarbeit* (GIZ) GmbH draw on a wealth of regional and technical expertise as well as tried and tested management capacities. As a federal enterprise, GIZ supports the German Government in achieving its objectives in the field of international cooperation for sustainable development.

GIZ provides demand-driven, tailor-made and effective services for sustainable development. To ensure the participation of all stakeholders, the company applies a holistic approach based on the values and principles upheld in German society. This is how GIZ facilitates change and empowers people to take ownership of their own sustainable development processes, always guided by the concept of sustainable development and considering political, economic, social and ecological factors.

GIZ operates in many fields: economic development and employment promotion; governance and democracy; security, reconstruction, peacebuilding and civil conflict transformation; food security, health and basic education; and environmental protection, resource conservation and climate change mitigation.

Most of GIZ's work is commissioned by the German Federal Ministry for Economic Cooperation and Development (BMZ), but the company also operates on behalf of other German ministries, states and municipalities, and public and private sector clients in Germany and abroad. GIZ's considerable experience with networks in both partner countries and Germany is a key factor for successful international cooperation, not only in the business, research and cultural spheres, but also in the civil society.

GIZ operates throughout Germany and in more than 130 countries worldwide. Its registered offices are in Bonn and Eschborn and employs more than 16,000 staff across the globe, 70 per cent of which are locally employed as national personnel. As of December 2013, GIZ's business was about 2.1 billion Euros.

For more information visit [www.giz.de](http://www.giz.de)





For more information visit [www.nopa-brasil.net](http://www.nopa-brasil.net)



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German Academic Exchange Service



Ministério da  
**Educação**

GOVERNO FEDERAL  
**BRASIL**  
PAÍS RICO É PAÍS SEM POBREZA