



South  
Africa  
Netherlands Research  
Programme on  
Alternatives in  
Development



PHASE 2  
2003 - 2007

**GRANT APPLICATION MANUAL**

## SUMMARY

### **SOUTH-AFRICA NETHERLANDS RESEARCH PROGRAMME FOR ALTERNATIVES IN DEVELOPMENT (SANPAD)**

SANPAD (The South Africa-Netherlands Research Programme on Alternatives in Development) is a unique collaborative research programme that has been financed by the Netherlands Ministry of Foreign Affairs since 1997. SANPAD funds high-quality, collaborative research by South African researchers in association with Netherlands researchers. In Phase 2 SANPAD will fund research projects under the following themes:

1. New Approaches to Economic Development
2. Social Development and the Quality of Life
3. Natural Resources and their Governance
4. Democracy, Government and Civil Society
5. Culture, Identity and Society
6. Poverty Reduction

SANPAD will finance research projects that have a social development-and policy-related content that may be multi-disciplinary and cross-thematic and with a special focus on poverty reduction. Details of the sub-themes are explained in the Programme Document.

The general SANPAD objectives are:

1. to stimulate and promote quality research
2. to produce research outputs intended and useful for development purposes
3. to promote co-operation between Netherlands (NL) and South African (SA) researchers, and between institutions within South Africa (SA) and
4. to develop research capacity and a culture conducive to research, aimed particularly at researchers from historically disadvantaged communities.

#### **TO REALISE THE ABOVE OBJECTIVES, SANPAD FOCUSES ON THE FOLLOWING:**

1. Funding and Supporting Research Projects.

Through an annual call for proposals, SANPAD conducts a process of reviewing and selecting research proposals. Thereafter, the programme funds the approved research projects, monitors the projects, enables co-operation amongst South African higher education institutions and South African and Netherlands researchers within the respective projects, and reports on finances and progress.

SANPAD may provide discretionary assistance for (re)formulating research project proposals. The decision suggesting reformulation is made by the Joint Committee of SANPAD. Reformulation usually entails the assistance of senior researchers in South Africa and the Netherlands and other relevant bodies that may add value to the reformulation of the proposal for resubmission for funding. The reformulation process generally takes the form of workshops.

SANPAD may also provide discretionary assistance for pre-proposal workshops. Funding for pre-proposal workshops is generally granted to first time project leaders from the designated groups, and to researchers who require further exploration of ideas that they believe may evolve into a full proposal. The application for a pre-proposal workshop must be accompanied by a letter of motivation identifying the reasons why a full proposal cannot be submitted, a proposed list of participants in line with the SANPAD policy on collaboration, and a proposed budget for such a workshop in keeping with SANPAD policy on funding such workshops.

2. Developing Research Capacity

- \* through the participation of historically disadvantaged and /or inexperienced researchers within the projects
- \* through the Research Capacity Initiative (RCI), which is an intensive research methodology course, which is offered over seven weeks during the period of a year. The RCI is aimed at developing research capacity particularly amongst historically disadvantaged and /or inexperienced researchers within a SANPAD funded project, and
- \* through the stimulation of research co-operation between SA and NL researchers, and South African researchers across institutions.

For the management of these activities SANPAD has an organizational structure consisting of in SA a National Board (SA NB) and in the Netherlands (NL) a National Committee (NL NC), as well as, in both countries, a Secretariat. The SANPAD Joint Committee consists of members of the SA NB and NL NC, and meets twice annually to take policy-related decisions. SANPAD NL also has an Advisory Council (AC). The committees and council are composed of people from different stakeholder and non-stakeholder groups, representing perspectives and capacities needed both in SA and NL

**The Programme Document sets out the policy, funding strategy, and administrative operations for the Second Phase (2003-2007).**

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## 1. INTRODUCTION



This Grant Application Manual is intended as a guide to be used solely for the preparation of applications for funds to be disbursed by SANPAD on the recommendation of our South African and Netherlands expert review panels, and the approval of the Joint Committee of SANPAD.

This manual provides you with detailed information that you will require to complete the application form, which is available on the SANPAD web page.

This should be filled in and submitted electronically to [projects@sanpad.org.za](mailto:projects@sanpad.org.za) AND a hard copy must be posted, hand delivered or couriered to the SANPAD secretariat by the advertised closing date. Please ensure that you have followed all the directions and that all necessary information is submitted with your proposal to:

**ATTENTION:**  
**The Projects Administrator**  
**SANPAD**  
**Private Bag X06**  
**Dalbridge 4014**

## 2. BACKGROUND

SANPAD (The South Africa-Netherlands Research Programme on Alternatives in Development) is a unique collaborative research programme financed by the Netherlands Ministry of Foreign Affairs since 1997. SANPAD funds high quality, collaborative research by consortia of South African researchers in association with Netherlands researchers. SANPAD is currently in its second five-year cycle of funding in South Africa, which began on 1 July 2003 and will end on 30 June 2008. The annual call for proposals is announced on the SANPAD webpage and through other media.

### 2.1 THE GENERAL SANPAD OBJECTIVES ARE

- a) to stimulate and promote quality research
- b) to produce research outputs intended and useful for development purposes
- c) to promote co-operation between Netherlands (NL) and South African (SA) researchers, and between institutions within South Africa, and
- d) to develop research capacity and a culture conducive to research, aimed particularly at researchers from historically disadvantaged communities.



## 2.2 TO REALISE THE ABOVE OBJECTIVES, SANPAD FOCUSES ON THE FOLLOWING:

### 2.2.1 Funding and Fostering Research Projects

After an annual call for proposals SANPAD conducts a process of reviewing and selecting the research proposals. Thereafter, the Programme funds the approved research projects, monitors the projects, facilitates the co-operation amongst South African higher education institutions and South African and Netherlands researchers within the projects, reports on finances and the progress of projects, and monitors the dissemination of the research results.

### 2.2.2 Developing Research Capacity

The Research Capacity Initiative (RCI) is a collaboratively facilitated (Netherlands-South African) programme, aimed at developing research capacity particularly amongst historically disadvantaged / inexperienced researchers who are participants in a SANPAD-funded project. The RCI is an intensive seven-week residential programme implemented in blocks over the period of a year and is designed specifically for junior researchers who are about to register for a doctorate. The **Programme Document** sets out the policy, funding strategy and administrative operations for the Second Phase (2003-2008) and detailed information about the RCI programme may also be downloaded from the SANPAD website: [www.sanpad.org.za](http://www.sanpad.org.za)

## 3. SANPAD THEMES FOR PHASE 2

The purpose of the SANPAD programme is to support collaborative research projects, involving more than one higher education institution and involving a Netherlands research partner. Proposals must focus on research that has social development and policy related content, that may be multidisciplinary, that may be cross-thematic, and may have a special focus on poverty reduction. In Phase 2 SANPAD will fund research projects which relate to the following themes:

### 3.1 NEW APPROACHES TO ECONOMIC DEVELOPMENT

The focus of this theme will be in the areas of globalisation and internationalisation and their impact on the South African Economy; agriculture and food security; small and medium business development; and sustainable and socially responsible entrepreneurship.

### 3.2 SOCIAL DEVELOPMENT AND THE QUALITY OF LIFE

The focus of this theme is, in particular, in the areas of Health and Education. Proposals for research in the area of HIV/AIDS will be welcome.

### 3.3 NATURAL RESOURCES AND THEIR GOVERNANCE

The focus of this theme is on water, land-use, forestry, mining and marine resources.

### 3.4 DEMOCRACY, GOVERNMENT AND CIVIL SOCIETY

In this theme the focus will be on law and democratisation; democratic leadership in all spheres of South African life; gender-related issues; crime reduction; service delivery of local governments; and the role of civil organisations, CBOs and NGOs.

### 3.5 CULTURE, IDENTITY AND SOCIETY

Proposals could focus, for instance, on multiculturalism and social equity; language, identity and democracy; and the history of identities.



### 3.6 POVERTY REDUCTION

This is an addition to the SANPAD themes and we should like to invite proposals from project leaders on a broad spectrum of poverty-related issues, in particular poverty audits and the evaluation of poverty-reduction programmes.

## 4. SANPAD GRANT CRITERIA

The main objective of SANPAD, which is to stimulate and promote quality research, must be met in each research project. This forms the basis for deciding whether or not a research project will be funded. The general criteria by which applications are adjudicated are as follows:

- The closeness of the relation of the proposed project to the SANPAD themes and objectives, and its potential to contribute to social development and poverty reduction in SA
- The clarity of the proposal, i.e. the proposal must be coherent, balanced and feasible
- The proposal must be scientifically sound and innovative, and must make a contribution to scholarship
- The effectiveness of the proposed methodology
- The appropriateness of the proposed budget
- The relevant training, background and experience of the research team members
- The proposal's direct or long-term policy relevance
- The proposal's contribution to building research capacity in South Africa, particularly among young researchers from previously disadvantaged groups
- The extent to which the proposal entails co-operation among South African institutions and Netherlands institutions and researchers
- The appropriateness of the proposed methods of dissemination of the research results.

### 4.1 ELIGIBILITY FOR A SANPAD GRANT

- All employees of the academic and research community of public higher education institutions in South Africa are eligible to apply for funds from the Programme.
- The project leader and the project team members must be South African nationals and must be employed by a South African university or technikon. Members of the South African National Board and its sub-committees are not eligible to apply for funds for the period of their term of office.
- Proposals which do not meet the criteria specified by these guidelines will not be funded regardless of the availability of funds.
- The funds recommended for grants will not exceed the amount available for allocation.



- SANPAD is not obliged to award all of the funds available if the proposals received do not meet the standards set by the Review Committees.
- Each proposal is judged according to the established criteria set out above and in greater detail below.

## **5. SPECIFIC CRITERIA FOR EVALUATING PROPOSALS**

### **5.1 SCIENTIFIC EVIDENCE**

SANPAD aims to stimulate capacity building while supporting high quality scientific research. Project proposals must therefore reflect innovative research and/or new research methodologies while focusing on the themes listed above. The research design should be scientifically sound and feasible and there should also be sufficient expertise available in the proposed project team to suggest that the project could be brought to a successful conclusion.

### **5.2 POLICY RELEVANCE**

SANPAD aims to stimulate policy-oriented and development-related research within the SANPAD themes. The subjects of the proposed research must relate to the themes and should demonstrate

- that a demand for research exists in that particular area of South African society
- that continuous interaction between scientists and stakeholders will take place during the conduct of the research, and
- that the results of the research will be made available to society in general and policy-makers in particular.

### **5.3 RESEARCH CAPACITY BUILDING**

SANPAD considers the building of research capacity to be an integral element of all the research carried out within the programme. Research proposals must therefore show evidence of support for research capacity-building initiatives.

#### **5.3.1 Within the project**

The proposal must demonstrate how it will develop research competence in its research partners, which in turn will enhance the research capacity of its partner institutions.

NB SANPAD does not, in general, fund the development of physical infrastructure or the acquisition of equipment, although this might occasionally be possible within the context of a specific project.

#### **5.3.2 Through the SANPAD residential Research Capacity Initiative (RCI)**

The RCI is a seven-week residential programme implemented in blocks over a period of a year. The programme is chiefly for pre-doctoral candidates who are participants within a project and who are currently engaged in or contemplating undertaking doctoral studies. The programme is an intensive 'hands-on' research methodology course aimed at developing and fast-tracking research capacity building for researchers from the designated groups in South Africa (see the Programme Document and the RCI folder on the webpage for details about the RCI programme). Every project research team must include at least one RCI



student. Project leaders must therefore identify and nominate junior researchers (from the designated groups) at pre-doctoral level for the RCI residential programme, within the project proposal, but are asked to consult the RCI Manager at the SA secretariat before doing so. The project leader will be notified of the candidates selected for the programme and the institution will enter into an agreement with the eastern seaboard Association of Tertiary Institutions (esATI) on behalf of SANPAD in respect of the candidates' participation in the programme. The RCI courseware is delivered by research experts from South Africa and the Netherlands.

## 5.4 COLLABORATION

Since SANPAD funds high quality, collaborative, multidisciplinary research by South African researchers in association with Netherlands researchers on issues that are relevant for the development of South Africa and its people, the research proposal must be conducted at universities and technikons in South Africa and may include collaboration with other types of institutions which engage in research or would benefit from the performance of research, whether statal, parastatal or civil. Project leaders must ensure that individuals from previously disadvantaged groups are included as research partners or RCI candidates in the project in order to build research capacity. They are asked to consult the RCI Manager and the SA secretariat in advance of making nominations in order to obtain details of the RCI programme and of the selection criteria for candidates. The project proposal must therefore show evidence of:

- **Collaboration among higher education institutions in South Africa on the research project**
- **Details of the nature of the collaboration, the research capacity building component and the budget allocation for the participants**
- **Collaboration with a Netherlands institution/researcher**
- **Collaboration with other institutions where necessary, namely NGOs, CBOs, Government Agencies etc.**

In addition the project proposal must show evidence of:

- **The participation in the project of academics from previously disadvantaged groups**
- **The existence of a research team composed of senior and junior researchers**
- **That at least half of the junior researchers within the project come from previously disadvantaged groups**
- **That the participating research masters and doctoral students are registered for their degrees or in the process of registering for their degrees.**

### 5.4.1 Role of the Netherlands secretariat

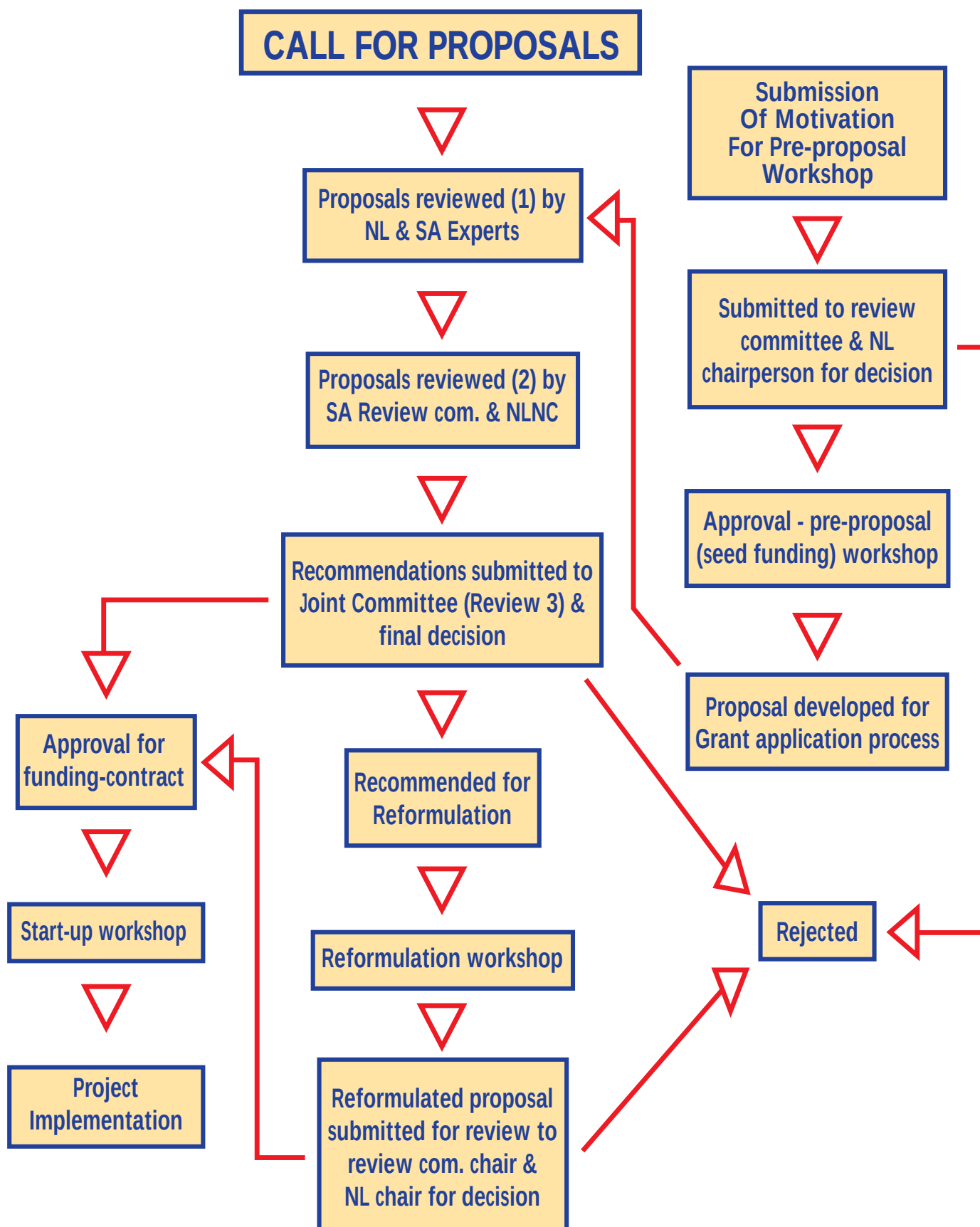
The Netherlands secretariat is responsible for assisting with the identification and securing of a research partner from a Netherlands higher education institution to support the research project. In the event that the project leader has prior linkage with a Dutch institution the project leader must indicate this in the application form and if possible attach a letter from the Netherlands partner indicating his/her willingness to participate in the project. In the event that there is no prior linkage, the project leader must indicate in the application form the expertise that will be required for the project and the stages during which this expert



NL research partner will be required. The NL co-ordinator will, within a month of the proposal being accepted for funding, provide both the SA secretariat and the project leaders with details of NL research partner/s for final approval by the project leader. A document describing the roles and responsibilities of Netherlands research partners and the financial arrangements applying to them is available on request from the Project Administrator at the SA secretariat. In the event that project leaders have issues which they wish to raise in relation to collaboration they should communicate directly with the NL co-ordinator, and copy the communication to the SA Projects Administrator and the SA Programme Director. The email address of the NL co-ordinator is [sanpad@niza.nl](mailto:sanpad@niza.nl)

## **5.5 ETHICAL CLEARANCE**

SANPAD requires every project leader to maintain the highest ethical and safety standards when conducting research, particularly when human and animal subjects are involved. However, it remains the sole responsibility of the project leader to comply with all relevant regulations in this respect, including those laid down by the institution concerned. The proposal must be accompanied by a copy of an ethical clearance certificate from the research committee of the relevant institution or a letter from the Director of Research in the contracted institution indicating that the proposal satisfies the ethical clearance requirements of the institution.





## 6.1 THE SUBMISSION OF PROPOSALS

The application form on the web page must be used for submitting research proposals. The body of the proposal should not exceed 10 pages, excluding the budget. The Curricula Vitae of all participants should not exceed two pages per person and must be sent as an attachment to the application form. Proposals must be submitted to the South African secretariat of SANPAD on the website, and hard copies must be addressed to:

### ***APPLICATION FOR FUNDING***

**The Projects Administrator  
SANPAD  
Private Bag X06  
Dalbridge 4014**

### ***FOR COURIER SERVICE***

**SANPAD  
14/36 Silverton Road  
2<sup>nd</sup> Floor Silver Oaks Centre  
Musgrave  
Durban 4001**

## 6.2 USING THE WEB-BASED APPLICATION SYSTEM

The address of the SANPAD website is <http://www.sanpad.org.za>. The web-based application system uses XL spreadsheets to collate the data for grant applications. The system is user-friendly and merely requires your input in the white spaces on each worksheet. Should you experience any difficulties in respect of making an electronic grant submission please contact the Webmaster at [webmaster@sanpad.org.za](mailto:webmaster@sanpad.org.za). Remember that both an electronic and a hard copy of the proposal must be submitted.

## 6.3 THE REVIEW PROCESS, ASSESSMENT AND REVIEWERS

The application is first screened by the SANPAD staff for completeness and correctness in terms of the guidelines provided in this manual. The application is then reviewed by

- scholars who are experts in the field both in SA and NL
- review panels both in SA and the NL, and
- decision-making meetings of the Joint Committee.

Reviewers are requested to evaluate research proposals on the basis of

- their relevance to the SANPAD themes,
- the project's design and scientific quality,
- the project's feasibility,
- the development potential of the project, and
- the nature of the proposed outputs.

## 6.4 NOTIFICATION

The applicants will be notified of the decision of the Joint Committee within seven working days of the decision being taken, which is approximately three months after the closing date

for submissions. The decision of the Joint Committee is final. However, should the applicant wish to see the reviewer and review committees' comments, a written submission must be made within seven days of receipt of the notification to

**THE PROGRAMME DIRECTOR**

**14/36 Silverton Road  
2<sup>nd</sup> Floor Silver Oaks Centre  
Musgrave  
Durban  
4001**

**or**

**Private Bag X06  
Dalbridge 4014**



## **6.5 CONTRACTUAL AGREEMENTS**

Contracts are entered into between the eastern seaboard Association of Tertiary Institutions (esATI) for SANPAD and the relevant institution. The project leader is the responsible agent for management of the project.

## **6.6 THE ROLE OF PROJECT LEADERS**

The project leader is responsible for the overall management of the project and will be responsible specifically for the submission of the joint research proposal, the annual reports and final report, the financial reports, and the final scientific report at the end of the project. The project leader will also be required to give a narrative report on the progress of the RCI candidates who are part of the research team. The institution that employs the project leader will act as the primary grantee and will handle all financial and administrative matters relating to the project. A research contract will be concluded between the institution where the project leader is employed, the project leader, and esATI.

## **6.7 THE FUNDING PERIOD AND REPORTING (ANNUAL REPORTS, FINAL REPORTS AND FINANCIAL REPORTS)**

All formal reporting to SANPAD must be channelled through the appropriate authority of the institution concerned. Projects are funded for a maximum of three years and project leaders are required to submit the following reports to the SANPAD secretariat by no later than the date stipulated on the grant letter and contract.

### **6.7.1 Financial and Audit Reports**

The annual financial report should be prepared and submitted for review and payment of the next tranche as follows:

1. The research accountant or project leader should prepare the annual financial report.
2. The financial report should state actual income and expenditure for the year with a comparison to the budget for that year, according to the expenditure cost items submitted in the original grant application form.
3. Reasons for significant variances (variances of R2000 or more) between actual and budget expenditure per expenditure cost item should be reflected in section 6 of the annual report - see Annexure 1.3.
4. Reasons for funds being carried forward should be noted in section 6 of the annual report together with a motivation for their use in the next year.



5. The financial report should then be approved by the internal audit department of the contracting institution confirming the expenditure on the financial report.
6. Should the institution not have an internal audit department, the financial report can be approved by either the financial or research director of the institution, confirming the expenditure on the financial report.
7. The annual financial report approved by the internal audit department or the financial or research director should be submitted to the SA secretariat as a part of the annual report on or before the due date.
8. Payment will be made within 21 working days of receipt of the report.
9. 10% of the final tranche of the grant is retained until the final report, research project report, and copies of products emanating from the project, are received by the SA secretariat.

If the financial report is for the final year of funding, funds unutilised at the end of the project should be refunded to the SA secretariat within 21 days of receipt of notice from the secretariat.

### **6.7.2 Annual Reports**

A concise annual report which outlines progress and funds expended as per the work-plan is due within 12 months of the first tranche of funds being disbursed. With respect to three-year projects, two such annual reports will be required and with respect to two-year projects one such report will be due. See the annual report form on the web page.

### **6.7.3 Final Report**

A final report summarizing project achievements and the total grant expenditure together with an audited statement is due on the specified date.

### **6.7.4 Research Report**

Three copies of the final research report and three copies each of any products (publications, videocassettes, audio recordings, website postings, manuals, monographs, etc) resulting from the research project must be sent to the SANPAD secretariat prior to the final 10% of the last tranche of funds being disbursed. **[IN CASES WHERE REPORTS ARE NOT SUBMITTED TO SANPAD THROUGH THE APPROPRIATE AUTHORITY BY THE REQUIRED DATE, OR IN THE CASE OF UNSATISFACTORY REPORTS, THE DISBURSEMENT OF FUNDS WILL BE WITHHELD OR TERMINATED.]**

## **6.8 USE OF FUNDS**

- Funds must be used solely for the finally approved research plan of the project leader.
- The grant is subject to the project leader's continuing to hold a full-time permanent position at a South African university or technikon and grants must be administered according to the financial policy of the institution concerned. In the case of contract staff, the contract must extend to at least the planned end of the project.
- Project leaders are urged to use their grants in the most effective and efficient way and to acquire goods and services in appropriate quantity and quality at the lowest cost.
- It is the responsibility of the institution concerned to meet the requirements of current tax legislation.
- Carry-forward of funds is not an automatic process and must be applied for each year.



Changes in the budget will be permitted only once an approval letter is submitted to the Finance Officer and Director of Research of the relevant institution.

- Funds in a particular tranche not expended within two fiscal years of the award date will revert to the SANPAD secretariat unless extension of the project is granted.
- Requests for extensions and additional funds must be submitted to the SANPAD secretariat with a motivation supporting the request. The request must be accompanied by a supporting letter from the Director of Research.
- Projects which have been delayed may proceed only if approval for extensions is granted. The appropriate authority at the institution will be informed in writing of the conditions of the extension.

## 6.9 INTELLECTUAL PROPERTY RIGHTS

It is a fundamental principle of SANPAD that the intellectual property rights remain in South Africa. Subject to the provisions of the ministerial decision<sup>1</sup> which forms the contract between the Netherlands Ministry of Foreign Affairs and esATI regarding the SANPAD programme, the intellectual property rights in respect of all intellectual products arising from a SANPAD project are vested jointly in esATI for the SANPAD programme and the project in the person of the project leader, or in the grantee institution, depending on the policies and rules of the institution.

In the event that a project leader leaves her or his institution and the project moves with the leader in terms of this contract, the intellectual property rights will remain unchanged. In the event that the project leader leaves the project for whatever reason, the intellectual property rights will remain with the project in the person of the new project leader, or the institution (see above), and with esATI. The terms of the joint intellectual property rights shall be determined through consultation between SANPAD and the project leader on a project by project basis.

## 6.10 PRE-PROPOSAL, REFORMULATION AND PRE-PROJECT (START-UP) WORKSHOPS

SANPAD may in the context described below provide assistance for the funding of pre-proposal and pre-project workshops. Decisions regarding the allocation of such discretionary funds rest with the SANPAD Review Committee and with the SANPAD Joint Committee. In contrast, every project must begin with a pre-project (start-up) workshop, for which provision must be made in the draft project budget. The SA secretariat should be notified of the proposed dates of all such workshops at least a month in advance, as a representative of the secretariat will normally be present at each such workshop.

<sup>1</sup> The text of paragraph 11 of the contract reads: "The Minister shall be entitled to make use, free of charge, for the benefit of structural poverty reduction of all documents and other products produced in connection with the present grant to which ESATI may have intellectual property rights. Where appropriate, ESATI shall issue the necessary licences to the state of the Netherlands free of charge and shall incorporate a clause to this end in any legal arrangements with third parties."



### 6.10.1. Making an application for a pre-proposal workshop

SANPAD has discretionary funds which it may grant to researchers from higher education institutions who wish to develop ideas into research projects which may attract SANPAD funding. Researchers in this position are requested to submit a motivated request including relevant supporting documents for the allocation of such funds. The reasons for asking for funding for a pre-proposal workshop (rather than asking for the funding of a research project on the basis of a complete application) should be clear. The application should include letters of support from relevant organisations, for example government departments or NGOs, information indicating that such a study has not been done previously, or has been dealt with from a very different angle, and that the study will benefit South Africa. The motivation should include a statement of the reasons why the work could not be accomplished without such a workshop, of who would be likely to benefit from the completed project, and of the extent to which the potential beneficiaries would be involved in the workshop. The proposed budget (not exceeding R23 000) and the proposed programme should be communicated to the SA secretariat as part of the application. A representative of the SA secretariat will normally be present at the workshop, and a Netherlands research partner should ideally attend as well. The Netherlands secretariat will assist in identifying such a person, should the applicant require such assistance.

Applications for the support of pre-proposal workshops should be made during the first six months of the year, and those which are approved should be scheduled to take place in the third quarter of the year, so that firm applications for support of a research project can be made within the usual annual period of November to April

#### **Guidelines for composing the agenda of pre-proposal workshops**

The application you will begin to formulate at this workshop should contain the following elements.

- The title of the project
- The details of the research team to be engaged in the project, including the institutions or NGOs they represent, and brief CVs
- The extent to which the team would include a research capacity building element
- The title of the SANPAD theme/s to which the project relates
- The chief aim of the project
- The main research question
- The specific research objectives
- The background and motivation for the study
- A review of the relevant literature
- A description of the relevance of the project to development in South Africa
- A description of the project's relevance to policy-making
- A description of the overall design and methods to be used
- A description of how data will be collected and analysed
- A work plan
- A statement about the expected outcomes and outputs



- A description of the dissemination strategy
- A description of the manner in which the project will help to develop South African research capacity
- A grant history
- A budget

The reviewers to whom your proposal will be sent will be asked to evaluate your proposal on the basis of the following general criteria, to which you may wish to give special attention.

- Its relevance to the SANPAD themes
- Its design and scientific quality
- The development potential of the project
- The extent to which it will develop research capacity in the members of the team
- The nature of the research outputs
- The appropriateness and effectiveness of the methods of dissemination of the results

A brief report describing the proceedings and outcomes of the workshop itself must be submitted to the SA secretariat within ten days of the date of the workshop, and a complete application for funding of the research project is to be submitted by the due date. (See the *Grant Application Manual*.) The applicant, who will normally be the proposed Project Leader, needs to take responsibility for submitting the report and the full application.

#### **6.10.2 Proposal Reformulation Workshops**

SANPAD has discretionary funds which it may grant to researchers whose applications for SANPAD funding for their projects have been found to have merit but have not been approved in their present form. Such workshops will be allocated on the recommendation of the SANPAD Review Committee. The Netherlands research partner and the representatives of the stakeholders in the proposed research project should be amongst those invited to attend the workshop, the agenda for which should address the issues raised by the Review Committee and the individual reviewers. The budget (not exceeding R23 000 - see Annexure 1.5), the list of those invited to attend, the agenda, and the proposed dates for the workshop should be communicated to the SA secretariat for approval prior to finalising these matters, particularly as a representative of the SA secretariat will normally be present on such occasions. The reformulated proposal, plus a report of the proceedings of the workshop, should be sent to the secretariat within 10 days of the date of the workshop.

#### **6.10.3 Pre-Project (Start-up) Workshops**

It is compulsory that all projects start with a pre-project (start-up) workshop, for which provision (not exceeding R23 000) must be made in the draft budget. The SA secretariat is usually represented at such workshops and must therefore be informed of the dates at least one month in advance. The purpose of the workshop is to bring together all of the stakeholders and researchers in the project including the Netherlands research partner, and to clarify the roles and obligations of each participant in the project. The workshop should also deal with the recommendations re the research protocol made by the SANPAD Joint Committee. The workshop should result in agreement on the details of the budget, the RCI



candidates, the tasks allocated to each partner, the work plan, the dates and deadlines for the submission of reports, etc. Within 10 days of the date of the workshop the project leader is to submit a report to the SA secretariat describing the proceedings and outcomes of the workshop.

#### **6.10.4 Extensions and Additional Funding**

Should there for any specific reason be a need to apply for an extension of time or additional funds for the project, the project leader must submit to the SA secretariat a full motivation as to the reason/s for these extensions. The application must be accompanied by a letter of support from an institutional authority. Applications for additional funds will be considered by the Review Committee and the Chairpersons of the Joint Committee before notification of the outcome.

### **6.11 CHANGE OF PROJECT LEADER/PARTICIPANTS AND NL RESEARCH PARTNERS**

In the event that the project leader of a project leaves or change institutions, the SANPAD secretariat must be notified in advance and the choice of an alternate or successor project leader/project must be approved by the SANPAD secretariat, prior to the project progressing. A full report will be required from the project leader and an institutional authority in this regard.

### **6.12 ACKNOWLEDGEMENT**

All products resulting from the project must acknowledge receipt of funds from SANPAD and permission must be sought from the SANPAD secretariat prior to such an acknowledgement being made. At least three copies of the publication or product must be forwarded to the SANPAD secretariat on receipt of approval.

### **6.13 STAFF AND STUDENTS ON THE PROJECT**

#### **6.13.1 Scholarships and Studentships**

These grants may be given to full-time or part-time students who are participants in a SANPAD funded project, at the discretion of the project leader. The grants for such students must be included in the proposed budget. Such grants will be paid only when proof of registration is submitted to SANPAD.

SANPAD allows payment of a grant

- to the maximum amount of R50 000 per annum for a full-time PhD student for a period not exceeding three years, and
- to a maximum amount of R30 000 per annum for a full-time Masters student for a period not exceeding two years.

Such grants are made to students who are not receiving a salary from another source.

SANPAD also allows payment of a grant

- to a maximum amount of R 25 000 per annum to part-time PhD students for a period not exceeding three years, and
- to a maximum amount of R15 000 per annum to part-time Masters students for a period not exceeding three years.

It is expected that a progress report on the students' PhD or Masters programmes will be submitted annually to the SANPAD SA secretariat and will be signed by both the project leader and the institution's designated authority.



### 6.13.2 Selection of Junior Researchers

A project leader is at liberty to select students to participate in the project as junior researchers provided that at least one such junior researcher is an RCI candidate selected in consultation with the RCI Manager, who may be contacted at the SA secretariat. The minimum criteria for RCI candidates are that they should be South Africans, should be members of the designated groups, should be doctoral students, and should be committed to academia. All students engaged as junior researchers on SANPAD-funded projects should at least be Masters students and should ideally be prospective RCI candidates. After such consultation has taken place the identity of the RCI candidates should be stipulated in the research proposal.

## 6.14 NON - PROJECT ACTIVITIES

SANPAD hosts several non-project activities to supplement its capacity building initiatives, e.g. project leaders' workshops on project management, dissemination workshops, etc. Project leaders will be kept informed of all such initiatives and a timely response to invitations is required so as to ensure project participation in such additional programmes. The cost of attendance at these programmes is borne by SANPAD and is a grant in addition to the project grant.

## 7. PROPOSAL CONTENT AND FORMAT

### 7.1 INSTRUCTIONS

- Please complete both an electronic version of the application form and a hard copy and forward them to the SA secretariat by no later than the closing date. The relevant forms are available on the SANPAD website at [www.sanpad.org.za](http://www.sanpad.org.za).
- Do not bind the proposal.
- Use letter type size 10 (Arial or Times New Roman).
- The body of the proposal must not exceed 10 pages, excluding the budget.
- The Curricula Vitae should not exceed two pages per person. Only recent (past three years) relevant publications should be listed.

### 7.2 PROJECT TITLE

Indicate the full title of the project.

### 7.3 PROJECT LEADER AND NL RESEARCH PARTNER DETAILS

The information on gender, nationality and race is necessary for demographic statistics and SANPAD administrative purposes and policy considerations.

### 7.4 NL RESEARCH PARTNER/S

Indicate details of the following individuals separately.

- **Senior researchers:** from SA and NL institutions. In instances where the applicant has no connections with a Netherlands research institution or researcher, the NL secretariat of SANPAD will be approached for assistance in identifying an appropriate Netherlands researcher as a partner after the project funding has been approved.



- **Junior researchers:** After consultation with the RCI Manager at the SA secretariat, identify clearly the candidates from this group who could participate in the Research Capacity Initiative. (see 6.13.2 above)
- A guideline document on NL Research Partnerships is available as a download on the SANPAD website.

## 7.5 RESEARCHER PROFILES

This information must be given for all senior and junior researchers. Attach a brief Curriculum Vita and a *brief* list of *relevant*, recent publications and other research output (**A MAXIMUM OF TWO PAGES PER PERSON**) for each participant at the end of the application form.

## 7.6 OTHER PROJECT INFORMATION

Indicate what the institutional linkages and the modes of collaboration are to be. Indicate where possible how the various tasks of the project will be allocated to the participants/research partners. Indicate briefly any other project information that you deem necessary for this application (not to exceed 10 lines).

## 7.7 DURATION OF THE PROJECT

Clearly indicate the proposed duration of the project (two or three years), and the proposed starting and ending dates.

## 7.8 SANPAD THEMES

Indicate the theme/s to which the research project relates.

## 7.9 OVERALL AIM AND RESEARCH OBJECTIVES

This section should not exceed one page and must include the following:

1. The overall aim of the project
2. The main research question
3. The specific research objectives.

## 7.10 BACKGROUND AND MOTIVATION

This section must not exceed two pages and must include the following:

### (a) REVIEW OF LITERATURE

Describe the existing problem, the previous national and international research done in this field, the logic behind your new approach, your assumptions, the theories informing your work, and your research hypothesis. The discussion should be based on the pertinent national and international literature, which must be cited and referenced.

### (b) RELEVANCE TO DEVELOPMENT IN SOUTH AFRICA

Explain the importance of the research to the development of South Africa, describe the expected beneficiaries, and show that a demand for the research exists.

### (c) POLICY RELEVANCE

Explain the probable policy impact the research may have.



## **7.11 RESEARCH METHODOLOGY**

This section must not exceed two pages and must include the following information:

1. A detailed description of the overall design and methods to be used. Give reasons for the methods chosen
2. A description of the method of data collection and of the techniques that will be used to analyse the data.

## **7.12 WORK PLAN**

The details of the work plan should not exceed one page and must include the following:

1. A description of the tasks to be carried out
2. Identification of the researchers who will carry out these tasks
3. Identification of the institutions where the tasks will be carried out
4. The target date for the start and completion of each task
5. The financial distribution of tasks.

## **7.13 EXPECTED OUTPUTS AND OUTCOMES**

This section must not exceed one page and must include the following information:

1. The expected outputs e.g. a summary report, journal articles, book publication, databases, seminars, research masters and doctoral candidates.
2. The envisaged outputs and outcomes of the research e.g. the impact on the quality of life, policy, social development etc.

## **7.14 DISSEMINATION STRATEGY**

Provide a scheme (not exceeding one page), for the dissemination of information about the project and its findings. The strategy must target the academic community, policy makers, the local community that served as the focus of the research, if such is the case, and the general public.

## **7.15 RESEARCH CAPACITY BUILDING**

Specify in no more than one page how this project will contribute

1. to building and strengthening research capacity,
2. to research capacitation generally, and
3. to the research skills of the junior researchers in particular.

## **7.16 DIRECT RESEARCH COSTS**

### **7.16.1 Scholarships**

Where appropriate, and at the discretion of the project leader, scholarships may be awarded to junior researchers as follows:

- Up to R50 000 per annum for a maximum of three years for a full-time PhD student or up to R25 000 per annum for a maximum of three years for a part-time PhD student.
- Up to R30 000 per annum for a maximum of two years for a full-time Masters student or up to R15 000 per annum for a maximum of three years for a part-time research Masters student.



### **7.16.2 Research Implementation Fees**

- Research implementation fees can be provided for senior researchers affiliated with a South African institution, to whom the institution cannot pay a salary during the time the researcher is working for the project. Only the normal, basic salary costs can be paid (no consultancy fee tariffs).
- Project leaders are not entitled to receive a fee from the budget funded by SANPAD.

### **7.16.3 Material costs**

#### **7.16.3.1 Costs of the purchase of books, consumables etc.**

Specifications for the above must accompany the budget form.

#### **7.16.3.2 Costs of data processing**

SANPAD will fund the cost of technical assistance and software that can be shown to be essential to the project.

#### **7.16.3.3 Costs of computers, digital cameras etc.**

In principle, the costs of purchasing vehicles are not eligible for funding and cannot be accepted in the budget. If the purchase of equipment such as laptop computers and audio-visual equipment is proved to be necessary, SANPAD will fund this on the basis of approval of the motivation and a depreciation period of three years.

### **7.16.4 Travel**

#### **7.16.4.1 International travel**

SANPAD will support economy class travel (via the shortest route possible) including the cost of transport to and from international airports via public or private transport, whichever is the cheaper.

#### **7.16.4.2 Domestic travel**

SANPAD will contribute to the lesser of the cost of air travel or R1,53/km for the cost of ground travel within South Africa for South African researchers.

#### **7.16.4.3 Daily Subsistence Allowances (DSA)**

DSA is payable only when South African project participants are obliged to spend nights away from their homes during the course of project activity. SANPAD will contribute according to the current SARS regulations: Where the accommodation to which the allowance or advance relates is in the Republic and that the allowance or advance is paid or granted to defray:

- incidental costs only an amount equal to R 60 per day OR
- the cost of meals and incidental costs, an amount equal to R 196 per day; which will be payable for South African senior and junior researchers and auxiliary staff in the field.

For South African senior and junior researchers travelling to the Netherlands, DSA is limited to \$190 per day (the current rate as approved by SARS ) inclusive of meals, internal ground travel and incidentals.

## 8. DISSEMINATION OF RESEARCH RESULTS, WORKSHOPS AND SEMINARS



### 8.1 ORGANISATION OF WORKSHOPS AND SEMINARS-

Project leaders may budget for

- the travel costs for speakers/facilitators
- the DSA for speakers/disseminators
- the rent of workshop accommodation and audio-visual equipment, and
- organisational costs (copying, postage, fax, telephone)

The funds granted may be used for the purposes of production/printing costs of reports, databases etc.

**Note that within this category, workshop costs within South Africa are limited to a maximum of R23 000.**

## 9. GRANT HISTORY

State whether or not the proposal has been submitted to other donors. If it has, then state the level of funding requested, the name of the donor institution or organisation and the outcome of the request.

State also whether there is a SANPAD history of previously submitted proposals, indicate the outcomes, and indicate any other counterpart contributions you will receive or are receiving for the current proposal/project.

## 10. DECLARATION BY APPLICANT AND INSTITUTIONAL COMMITMENT BY EACH PARTICIPATING INSTITUTION

Ensure that the declaration at the end of the application form is signed by the project leader as well as the host institution. The signatory on behalf of the institution may be the Vice Chancellor or his/her delegate and may not be the project leader.

## GRANT APPLICATION FORMS

*Can be:*

Downloaded from:

[www.sanpad.org.za/grant\\_funding.htm](http://www.sanpad.org.za/grant_funding.htm)

or sent to you via email from

[projects@sanpad.org.za](mailto:projects@sanpad.org.za)

or sent to you via post please contact

[projects@sanpad.org.za](mailto:projects@sanpad.org.za)

or Projects @ +27 31 277 1780

### ***Co-Chairs of the Joint Committee***

Dr Dave Woods

#### ***Programme Director***

Dr Anshu Padayachee

Prof Paul Hoebink

#### ***Programme Co-Ordinator***

Drs Nelke van der Lans

### **SANPAD South Africa**

#### ***Postal Address***

Private Bag X06  
Dalbridge  
4014 South Africa

#### ***Visiting Address***

14/36 Silverton Road  
2nd Floor Silver Oaks Centre  
Musgrave  
Durban 4001

#### ***Telephone***

+27 (0) 31 277 1780

#### ***Fax***

+27 (0) 31 201 1948

#### ***E-mail***

info@sanpad.org.za

### **SANPAD The Netherlands**

#### ***Postal Address***

P.O. Box 10707  
1001 ES Amsterdam  
The Netherlands

#### ***Visiting Address***

c/o Netherlands institute  
for Southern Africa (NiZA)  
Prins Hendrikkade 33  
Amsterdam

#### ***Telephone***

+31 (0) 20 520 6223

#### ***Fax***

+31 (0) 20 520 6249

#### ***E-mail***

sanpad@niza.nl

### ***Website***

[www.sanpad.org.za](http://www.sanpad.org.za)