



South
Africa
Netherlands Research
Programme on
Alternatives in
Development

GUIDELINES FOR NETHERLANDS RESEARCH PARTNERS ON SANPAD-FUNDED PROJECTS

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**PHASE 2
2003 - 2007**

Addresses

SANPAD NETHERLANDS

<i>Address</i>	<i>P.O BOX 10707 1001 ES Amsterdam The Netherlands</i>
<i>Physical Address</i>	<i>c/o Netherlands institute for Southern Africa (NiZA) Prins Hendrikkade 33 Amsterdam The Netherlands</i>
<i>Telephone</i>	<i>+ 31(0)20 520 6223</i>
<i>Fax</i>	<i>+ 31(0)20 520 6249</i>
<i>E-mail</i>	<i>sanpad@niza.nl</i>
<i>Website</i>	<i>www.sanpad.org.za</i>
<i>Programme Co-ordinator</i>	<i>Drs Nelke van der Lans</i>
<i>Programme Officer</i>	<i>Colette Gerards</i>

SANPAD SOUTH AFRICA

<i>Address</i>	<i>Private Bag X10 Dalbridge 4014 South Africa</i>
<i>Physical Address</i>	<i>14/36 Silverton Rd 2nd Floor Silver Oaks Centre Musgrave, Durban South Africa</i>
<i>Telephone</i>	<i>+ 27(0)31 277 1780</i>
<i>Fax</i>	<i>+ 27(0)31 201 1948</i>
<i>E-mail</i>	<i>info@sanpad.org.za</i>
<i>Website</i>	<i>www.sanpad.org.za</i>
<i>Programme Director</i>	<i>Dr Anshu Padayachee</i>
<i>RCI Manager</i>	<i>Dr Alan Brimer</i>
<i>Project Administrator</i>	<i>Ms Jenny Hollander</i>
<i>Project Assistant</i>	<i>Ms Colleen Titus</i>
<i>RCI Assistant</i>	<i>Ms Lorraine Rajagopaul</i>
<i>Financial Officer</i>	<i>Mr Fabian Naidoo</i>
<i>Personal Assistant</i>	<i>Ms Maria Budula</i>
<i>Receptionist</i>	<i>Ms Nicola Rockwood-Turner</i>

SOUTH AFRICA - NETHERLANDS RESEARCH PROGRAMME ON ALTERNATIVES IN DEVELOPMENT (SANPAD)

A SUMMARY OF THE PROGRAMME ACTIVITIES DURING PHASE 2

SANPAD (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 conducted in association with Dutch researchers. In Phase 2 SANPAD will fund research projects related to 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 that may have a special focus on poverty reduction. Details of the themes are explained in the Programme Document (see the SANPAD website).

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:

Funding and Supporting Research Projects.

SANPAD makes an annual call for the submission of research proposals, reviews those received, and selects some of them for support. The programme funds the approved research projects, monitors the projects, enables co-operation amongst South African higher education institutions and South African and Dutch researchers within the projects, reports on finances and progress, and monitors the dissemination of research results.

SANPAD has the discretion to provide assistance for (re)formulating research project proposals. The decision to support 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' of South African Employment Equity legislation, 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 accordance with the SANPAD policy on collaboration, and a proposed budget for such a workshop in keeping with the SANPAD policy on funding such workshops. The relevant policies may be found on the SANPAD website.

Developing Research Capacity

Research capacity is developed

- 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 offered over seven weeks during the vacation periods of the 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 a National Board (SA NB) and a secretariat in South Africa and a National Committee (NL NC) and a secretariat in the Netherlands.

The SANPAD Joint Committee (JC), consists of members of the SA NB and NL NC, and meets twice annually to take policy-related decisions. The 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.

RELEVANT ACRONYMS & ABBREVIATIONS

AC	Advisory Council
DSA	Daily Subsistence Allowance
JC	Joint Committee
NL	(the) Netherlands
NB	National Board
NC	National Committee
RCI	Research Capacity building Initiative
SA	South Africa(n)
ZAR	South African Rand

CONTENTS OF THIS MANUAL:

1. The purpose of this manual
2. The selection of NL partners
3. The roles of the SA and NL secretariats
4. The modalities of NL partnership
5. Financial assistance and procedures

1. The purpose of this manual

The purposes of this document are

- to clarify the roles and functions of the Dutch partner in the research project in South Africa and of the NL Secretariat in supporting this partnership, and
- to ensure efficient communication between research partners so as to accomplish agreed workplans and time schedules

2. The selection of NL partners

Project proposals always have to be presented by a South African research team, based in South Africa. One of the grant conditions of SANPAD-funded research projects is that all projects shall have a Dutch research partner. Such research partners come from Dutch academic and research institutions. These are usually universities, but can also be other recognized research institutions.

Often the contacts between South African and Dutch researchers are based on existing linkages between research institutions, especially universities. And frequently the South African project team will already have previously established contacts with one or more Dutch researchers.

But if the project does not yet have an NL research partner, the NL secretariat will provide assistance in finding an appropriate NL researcher for the project.

Criteria used in the selection of collaborators are:

- expertise on the research subject (theoretical knowledge and practical experience),
- methodological expertise on the research methods of the project,
- experience on Research in Africa, and
- other complementary knowledge or experience.

Identification of an NL research partner is always done in consultation with the SA project leader. Firstly, he/she is asked for his/her preference, after which the NL secretariat starts the search process. When the NL secretariat has identified a potentially appropriate NL collaborator, she inquires if the concerned person is willing to participate. If so, then the SA project leader is approached to give his/her opinion and consent.

The NL NC has the right to dispute the chosen NL research partner(s) and will in that case propose new or additional research partners. The Committee could be advised by the NL Advisory Council of SANPAD in this matter.

It is expected that the NL collaborator will participate in

1. the pre-proposal workshop if requested to do so,
2. the reformulation workshop if requested to do so,

3. the compulsory start-up workshop in South Africa with all project partners,
4. other workshops as proposed in the project workplan, and
5. the research to be performed in terms of the approved workplan.

The research partner will also be expected to report in writing to the NL secretariat on his/her participation in the activities relating to the research project.

Should the NL researcher be unable to attend any one of the above or wish to withdraw from the project, the NL secretariat must be given timeous written notice thereof so that a replacement may be provided.

All activities of the researcher are subject to evaluation by the project leader and such evaluations are forwarded to both the SA and NL secretariats.

Funding for all of these activities will be approved by the JC Review Committee and implemented by the NL secretariat.

3. The roles of the SA and NL secretariats

The principle is that the SA secretariat deals with all practical matters concerning the projects in South Africa and the NL secretariat does the same for the NL components of the projects in the Netherlands.

Tasks of the SA secretariat are

- to process all project proposals through the agreed procedures,
- to negotiate and finalise grants, agreements and contracts for approved projects (and workshops) with the project leaders, and
- to monitor the projects and pay out the yearly instalments following the agreed procedures.

The SA secretariat informs the NL secretariat of the results of its dealings with the project leaders by sending to the NL secretariat copies of grant letters and other approval letters. In matters concerning the NL component the SA secretariat consults the NL secretariat and decisions are taken jointly.

Tasks of the NL secretariat are

- to find NL reviewers for the project proposals and NL collaborators for projects that have none yet, and
- to keep contact with NL collaborators, arranging practical matters for them (airfares, DSA) and mediating between NL and SA researchers engaged in the project in practical matters if necessary.

The NL secretariat informs the SA secretariat of all dealings and their results, and consults the SA secretariat in case a decision has to be made.

4. The modalities of NL partnership

4.1 The content of partnership

The NL researcher's contribution can range from only advising to equal partnership (joint research). The latter is preferred.

Collaboration between SA and NL (teams of) researchers may for instance consist of

- communication via email, telephone, video conferencing etc on a daily, weekly or monthly basis,
- workshop participation in SA or the NL,
- onsite visits to projects,
- the performance of aspects of the research,
- joint supervision of PhDs or Masters students engaged in the project,
- writing joint publications or delivering joint papers at conferences, and
- contributing to the annual and final reports to SANPAD.

In special circumstances an NL university may arrange with an SA university that Dutch PhD candidates can follow (part of) the NL AIO programme in South Africa. It is also possible for SA PhD candidates engaged in a SANPAD-funded project to do (part of) their PhD study in the NL, and for members of the project team to attend courses in the NL. These modalities do not fall within the normal funding and budgeting arrangements of SANPAD, but would be regarded as positive outcomes of engaging in a SANPAD-funded project.

4.2. Collaboration throughout the project scenario

Phase 1. The formulation of a proposal

The NL research partner might be involved in the formulation of the SA project proposal. This is often done through the medium of a *pre-proposal workshop*, which might attract assistance from SANPAD SA. NL researchers can be participants in this workshop, if the necessity is clearly indicated. The exchange of draft proposal papers through e-mail is another option which is less expensive and might therefore be preferable.

A letter indicating the necessity of the workshop and a draft outline of the project proposal - based on the format of the application form - together with a budget for the workshop are needed for the approval of the financial support of the workshop.

Phase 2. The review of a proposal

Project proposals that are sent in before the deadline of the Call for Proposals (mid March) are reviewed by evaluators in South Africa as well as in the Netherlands. These are researchers at universities who are experts in the field of the research subject. In addition the members of the SA NB and the NL NC get the opportunity to evaluate the proposals. All evaluators use a standard 'peer review form.' The evaluations are done in the period between March and June.

Next, a review committee consisting of SA NB members makes a pre-selection of the proposals, recommending that they be approved, or that they be assigned for reformulation and resubmission, or that they be rejected

Finally, it is the Joint Committee (consisting of members of the both National Committees) that in a meeting (at the end of June) formulates the final judgment on the proposal. The proposal will be rejected or approved (usually with some specific conditions) or sent back with the request to reformulate and resubmit it.

Phase 3. The reformulation of a proposal

At this point the role of the NL research partner usually becomes stronger. SANPAD provides the funding for the workshop in which the proposal needs to be reformulated. The *reformulation workshop* is organised by the South African project team which invites the NL researcher(s) to

participate and contribute to the workshop. SANPAD SA will assist with the organising of the workshop and a member of the SA secretariat will be present at the workshop..

If an NL research partner has not yet been identified then this is the time to find one or more. The NL secretariat will assist, but will wait for the initiative of the SA project leader. It is possible that the SA project team may identify an NL research partner on its own.

Phase 4. The start of the project

When a project is approved by the Joint Committee the project may start as soon as the funds are made available. It is the intention to make the funds available before the end of the year.

The details of the role of the NL researcher will have been inscribed into the project workplan, after due consultation between the project leader and the NL research partner. The funding of the activities of the NL researcher will have been budgeted for in the NL portion of the project budget, and may not be included in the SA portion of the project budget.

If no NL research partner has yet been identified the NL secretariat will assist in finding one or more, but will wait for the initiative of the SA project leader. It is possible that the SA project team may wish to identify its own NL research partner(s).

SANPAD requires that each project start with a *project start-up workshop*. This enables the members of the research team to work out their roles – what they expect of one another during the course of the implementation of the project -, to refine the methodology, to decide who will write which reports when, to arrive at a time frame and to plan for any other research activities. SANPAD considers the participation of the NL collaborator in the start-up workshop to be highly desirable.

Phase 5. During the performance of the research

The approval of a project includes the approval of a budget, part of which (10% of the whole) is assigned to the NL secretariat to fund the activities of the NL research partner. The NL research partner is required to submit regular reports (see the annexed format) to the NL secretariat detailing his/her activities in relation to the approved workplan, in order to justify further remissions from the NL portion of the budget.

The SA project leader is required to submit annual progress reports on the research project to SANPAD as indicated in the Manual for Grant Application (see the website).

Phase 6. At the end of the project

The project will be concluded with a final report and a scientific report. Ten percent of the project money will be paid out only after the final report is received. That will be stated in the grant letter.

4.3. Reporting

It is expected that the NL research partner will submit a short visiting report (1- 2 pages) to both the NL and the SA secretariats on the various visits to SA and on the status of the project.

The format of the visit report written by the NL research partner is to be as follows. It should preferably be written in English.

1. Name and contact details of visitor
2. Number and title of project
3. Period of visit

4. Activities undertaken during the visit
5. Main issues and conclusions of workshop or other activities
6. Future arrangements
7. Observations on the proceedings of the project
8. Recommendations

5. Financial assistance and procedures

5.1. Financial assistance

The main part of a project's budget is given to SA researchers and the SA students engaged in the project as junior researchers, since SANPAD is a capacity-building programme for historically disadvantaged researchers in South Africa.

SANPAD will provide the following financial assistance to NL collaborators:

- ground transport and accommodation for the workshops
- airfares for visits to SA at specified rates, and
- a DSA (daily subsistence allowance)

In the Second Phase of SANPAD, 10 % of each project budget is earmarked for the NL component of the project. (The calculation of 10 % is based on the actual average NL percentage in the First Phase.) This amount is spent on travel, accommodation and the DSA of NL research partners. If extra costs arising from the tasks assigned to an NL researcher are expected, these can be integrated into the SA budget.

For (re)formulation workshops held before the start of the project, a standard amount of money is earmarked for the NL costs. This amount is adjusted annually.

The NL researcher's home institution is expected to contribute to the NL-SA collaboration by providing the researcher's usual salary package during the period that (s)he is engaged in the SANPAD project. An NL researcher is to expect no financial reward from SANPAD for engaging in a SANPAD-funded project. Sharing the scientific experience and joining in the resulting publications are considered to be reward enough.

SANPAD does not pay travel/accommodation costs for NL students or PhD candidates who are involved in the project, but supports the principle of their participation in the project. Compensation for some research costs and for the supervision from NL can be considered in some specific cases if well motivated. Participation of such students in the SA project must be approved by the project leader and appropriate indemnities must be signed before the students travel to South Africa.

5.2. Financial procedure for the NL contribution

The NL costs are managed by the NL secretariat, which runs a separate budget for all NL costs relating to the SANPAD programme. All payments are made by the NL secretariat. Flights to and from SA are usually booked through the NL secretariat to ensure a cheap rate. If the NL researcher arranges his/her own flight, then arrangements as to the air fares are to be made with the NL secretariat beforehand.

The NL secretariat uses for its calculations a DSA (daily subsistence allowance) that includes the cost of accommodation in South Africa. At present, the DSA is fixed at **ZAR 800**, which equals **Euro 110** based on a currency rate of 7,5. The Euro figure fluctuates with the exchange rate.

The following options are available for use to pay for the accommodation of NL research partners visiting South Africa. (A maximum stay would be one week in duration.)

1. The NL secretariat can pay the hotel costs directly to the hotel in SA after receipt of an invoice which clearly indicates:
 - the name and address of the institution to which payment is to be made,
 - the relevant bank account number, and
 - the name, address and codes of the relevant bank
 It should be obvious that this procedure takes quite some time.
2. The NL research partner can pay all of his/her expenses in SA with a credit card and declare them later at the NL secretariat for reimbursement. A declaration form is available from the NL secretariat. Copies of all concerned invoices are required.
3. The NL research partner may ask for an advance based on 60 % of the expected costs and the DSA, and would after returning to NL be required to submit a final calculation and declaration to the NL secretariat on the prescribed form, which is available from the NL secretariat.

When accommodation is paid for, then a DSA between **ZAR 100 (€ 15) and ZAR 250 (€ 35)** can be paid, depending on the other costs.

(NB: Good accommodation - bed, bath and breakfast - can usually be found for ZAR 500-600.)

The three possibilities are summarised in the following table; fees per day:

The complete DSA (nothing is paid for beforehand or separately)	Accommodation is paid for, but the NL researcher has to pay for meals, transport and incidentals	Everything is paid for, except for incidentals
ZAR 800	ZAR 250	ZAR 100
€ 110	€ 35	€ 15

Nelke van der Lans, Co-ordinator SANPAD NL, in consultation with SA Secretariat, May/June 2004