

## **RAEIN-AFRICA Competitive Grant System (RAEIN-AFRICA-CGS)**

### **Guidelines for preparation of Full Proposals**

#### **General Information on Submission of a Project Proposal**

The following notes provide information for completing a Full Proposal (FP) to RAEIN-AFRICA. The notes have been inserted in the appropriate sections of the form. Once the FP is completed online it should be submitted online or send electronically, before the deadline to [raein@mweb.com.na](mailto:raein@mweb.com.na) and copied to [dmnyulwa@unam.na](mailto:dmnyulwa@unam.na). The cover letter must be addressed to 'The Regional Director. Applications must follow the format in this form. The components are assembled in the following sequence:

- Summary Information,
- Executive Summary,
- Project Description,
- References Cited,
- Contributions and Vitae of Investigators,
- Budget and Budget Justification,
- Results Framework. Do NOT include a Table of Contents, but DO number all pages. Include only appendices and letters of support requested for. The signed support /authorization letters must be faxed to +264-61-2063350

The chief expectation of RAEIN-AFRICA sponsored projects is creative, innovative, inclusive, high quality research that demonstrably addresses outcomes desired by the ISP-TEESA Programme. The Secretariat is particularly concerned that research results are communicated to end-users and that there is improved communication between researchers and end-users. The RAEIN-AFRICA is interested in fostering research that is integrated across disciplines and takes an innovation and systems approach and all research issues should aim to inform policy making processes. For this particular call, the following **themes** are prioritized:

- 1 Institutions and governance (transparency, accountability, devolution) with reference to establishment and implementation of National Biosafety Frameworks (NBF)s
- 2 *Biosafety regulations – Developing a southern Africa code of practice to improve application of existing technical rules and standards in enforcing the biosafety instruments (sampling of GMOs, detection techniques and standards of identification)*
- 3 Innovative ways of improving awareness and stakeholder participation in the actualisation of Article 23 of Cartagena Protocol on Biosafety? (CPB) and development of some guidelines for stakeholder engagement
- 4 Social, economic and environmental considerations when introducing GMOs – Developing an assessment tool for southern African countries
- 5 Building effective partnerships to improve performance of innovation systems in biotechnology
- 6 Innovation systems in interfacing science and technology policy, operations and society
- 7 Promoting adoption and upscaling of successful biotechnologies to improve and sustain livelihoods in southern African communities
- 8 Understanding how communities are adapting to the impacts of climate change

9 Strengthening understanding of the status of biofuels in southern African societies (farming systems, socio-economic implications, markets and trade and corporatism)

RAEIN-AFRICA invites prospective applicants to submit proposals (1 per Team) on any of the above themes. The Principal Investigators should be experienced practitioners working in biotechnological, agricultural and environmental research and development systems. The PI must partner with others outside their institution whether locally, regionally or internationally. The proposals must address poverty reduction and sustainable development. The grants years and maximum budget will be set per each specific call. The deadline for the first Call is 22 May 2009. Subsequent calls will have deadlines set at the time announcement.

Proposals must be typed single spaced on standard 8.5" x 11" paper and should not exceed 15 pages, excluding appendices. The type font must be 12-point Times New Roman (NOT CONDENSED). All margins must be at least 1 inch (2.5 cm). Submitted proposals that do not follow this prescribed format will be screened and rejected. Guidelines on fonts and margins limit the length of proposals so that reviewers can evaluate them in a reasonable length of time. Any steps that break the spirit of those limits (e.g., condensed fonts, tighter line spacing) are unfair to the investigators who limit their proposals to the prescribed space. The application package should include a cover letter from the applicant, letters of commitment from collaborating researchers and their institutions, CVs of the PI and collaborating researchers. In addition, the proposal must be endorsed by the Chair of the NWG.

<b>SECTION 1</b>		<b>SUMMARY INFORMATION (do <u>not</u> make entries in shaded cells)</b>	
<b>For which research call is this Full Proposal submitted?</b>		Insert research call ref no.*	
		Insert research call theme*	
<b>Title of proposed Project (not more than 10 words)</b>			
<b>Name of Principal Investigator (PI):</b>			
<b>Name of PI's Organisation</b>			
<b>Name and designation of authorised signatory approving PI's Full Participation submission:</b>			
<b>PI's contact details:</b>		<i>Provide best contact details possible in cells below</i>	
<b>Location:</b>			
<b>Mailing address (if different from above):</b>			

Telephone number(s):	Land line Option 1	
	Land line Option 2	
	Mobile	
Fax number:		
Email:		
Total cost of proposed project:	<i>Figure MUST be the same as total in Section 9</i>	<b>Euro/national currency</b>
Dates and routes:	<i>Date of Dispatch</i>	<i>Means e.g., name of courier</i>
PI dispatch of FP e-file		–
Receipt of FP e-file		–
<b>SECTION 2</b>	<b>PROJECT STRUCTURE (incl EVIDENCE OF COMPLIANCE)</b>	
<b>Names of participating member countries</b>		
Partner organisations	<i>Name of Officers</i>	<i>Address &amp; tel, fax, email details</i>
<b>a.</b>		
<b>b.</b>		
<b>c.</b>		
<b>Add more if relevant</b>		
<b>Checklist for compliance:</b>	<i>PI entry</i>	<i>RAEIN-AFRICA entry</i>
No. of partners		
No. of partner organisations		
At least 2 partner organisations (Yes/No)		
Email submission by, or email indication of approval by the person authorized to sign		
Hard copy covering letter signed by person authorized to sign (not sure if hard copies will be a requirement)		
Hard copy signed letters of intent to participate by appropriate senior staff from Organisations named as partners (delete if hard copies not required)		
Number of pages, excluding Appendices		

<b>SECTION 3</b>	<b>EXECUTIVE SUMMARY (Not more than 600 words ie one 1 page)</b>
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**Please Type here:** Begin this section on a new page. The Executive Summary should provide a 1-page overview of the reasons for the proposed work, the project's objectives, the methods to be used, brief comments on what results are expected, why results are relevant to the ISP-TEESA Programme, and how the results will be reported to end-users.

<b>SECTION 4-7</b>	<b>PROJECT DESCRIPTION (Sections 4-7 should not more than 12 pages)</b>
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<b>SECTION 4</b>	<b>INTRODUCTION/BACKGROUND (not more than 2 pages)</b>
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The background should explain the authors' understanding of the developmental rationale for the research. It should then justify the chosen focus of the proposed research by providing a brief description of the character and occurrence of the situation and associated opportunity or constraint that the research will address and the client group(s) on which it will focus.

<b>SECTION 5</b>	<b>LITERATURE REVIEW (not more than 3 pages)</b>
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Review and cite the most significant and relevant work on the problem under consideration, including work done by the investigators submitting the proposal. The literature should cover the economic, social and technical aspects. Any environmental sensitivities and relevant gender issues should be included. All figures and tables are included in the 3-page limit.

<b>SECTION 6</b>	<b>PROJECT PURPOSE AND OBJECTIVES (Not more than 1 page)</b>
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The research purpose of the project should elaborate the purpose narrative, objectives and Objectively Verifiable Indicators (OVIs) of the logframe. The text should also explain the contribution to development that the research aims to achieve in terms of regional priorities and RAEIN-AFRICA 's strategic objectives. State the specific hypotheses to be tested.

<b>SECTION 7(a)</b>	<b>OUTPUTS/RESULTS (Not more than 2 pages)</b>
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Describe the expected research results, appropriate to the project purpose, which the project should attain. Outputs must include uptake promotion with target stakeholders covering ultimate beneficiaries and the formal and informal institutions that will take up and use the findings, insights and knowledge-sharing products of the research and engage in the process of transferring knowledge (in various forms and in varying ways) to other relevant institutions and beneficiaries.

<b>SECTION 7 (b)</b>	<b>RESEARCH PLAN/ METHODOLOGY (Not more than 4 pages)</b>
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The research plan should describe the activities that should accomplish each output. It should provide an indication of the planned products (studies, surveys, results of experimentation, developmentally applicable methods, decision support tools etc) and the engagement and communication with stakeholders that must be implemented to support other outputs of the project. In specifying an activity or group of activities associated with each output of the project, a description of the design of the study/survey/experiment and the communication strategy should be provided. Procedures by which data will be collected, analyzed, and interpreted must be clearly stated. Comments on any special challenges or pitfalls that the team foresees and it plan to deal with them should be stated. Details of the location of specific components of the research, including possible attention to gender and any environmental factors that will need to be considered should be included. A clear monitoring and evaluation plan **MUST** be presented. This section should end with a timetable for conducting the research and delivering or implementing the results. Indicate who is responsible for what aspect?

<b>SECTION 8</b>	<b>PROJECT TEAM</b> ( <i>maximum of 50 words per investigator</i> )
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Describe briefly what each investigator will contribute to this project. Clearly show how the mix of partner organisations that contribute to the team will provide the skills areas that the research requires. Include a condensed C.V. (2-3 pages maximum) for each investigator and include in the Appendices. Present your background in the manner you think best represents your qualifications to do the proposed research.

<b>SECTION 9</b>	<b>BENEFICIARIES</b> (not more than half a page)
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Indicate the main beneficiaries of the research. The beneficiaries are those who gain social, economic or environmental advantage from the knowledge transfer activities of the target institution(s) in the form of information, technology, methodology, institutional capacity etc. The target beneficiaries at the research location(s) should be defined and some estimate of their representativeness provided. Beneficiaries may be identified in, for example, the household, the village community or the global community. Gender must be considered and some assessment of whether the project will benefit men or women or both must be provided.

<b>SECTION 10</b>	<b>RISKS, ASSUMPTIONS AND PRE-CONDITIONS</b> (Not more than 1 page)
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Includes those factors that might contribute to the project failing to achieve its objectives. Important assumptions are external conditions or factors over which the project cannot exert control, but on which the accomplishment of objectives depends.

<b>SECTION 11</b>	<b>FINANCIAL INFORMATION</b>
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<b>GUIDELINE INFORMATION</b>
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The indicative budget figure is provided in the research call. Financial proposals should not exceed the budget figure as indicated under each call.

Budgets should be presented by project activity, and the budget for each activity should be broken down separately to indicate how the final figure has been determined (use table below). Rates for travel, subsistence and will be set at the official rates of the PIU's institution and will be subject to approved regulations and norms.

The budgets should be shown in Euros and a second column should indicate the local currency equivalency and by financial year which runs from the first half year 1 July 2009 to December 2009 and subsequent years January to December. Indicate any Institutional contributions and costs them, administrative costs [overheads] may be included and should not exceed 7.5% of total budget; they too should be itemised and accounted for. Such costs may include the relevant proportion of the following:

- general secretarial, administrative, accounting and computer accessories and consumables;
- postage, telecommunications and other utilities.

The purchase of capital equipment items will **not** normally be supported, but if requested will need to be fully justified.

<b>SECTION 12</b>	<b>LOGICAL FRAMEWORK Guidelines</b>
SECTION 12.1	
<b>GUIDELINE 1</b>	<p><b>Background</b></p> <p>The logical framework consists of a 4 x 4 matrix, with a <u>horizontal</u> hierarchy of objectives at the (i) goal, (ii) purpose, (iii) output, and (iv) activity levels. The <u>vertical</u> components are:</p> <ul style="list-style-type: none"> <li>(i) Summaries of the objective(s) at each level</li> <li>(ii) The objectively verifiable indicators (OVIs) for achievement of those objectives, expressed in terms of quantity, quality and time (QQT)</li> <li>(iii) The sources for the evidence that is needed to verify the indicators (means of verification, MoVs)</li> <li>(iv) The important assumptions for moving from one level of objectives to the next.</li> </ul> <p>There may also be pre-conditions. These are requirements that are essential to the inception and implementation of the project but not under the project's direct control. They must be negotiated prior to project in order that, to the best extent possible, they are assured and the project can be undertaken.</p>
<b>GUIDELINE 2</b>	<p><b>Key way forward</b></p> <p>You are strongly advised to prepare the logical framework before you embark on writing the text of the FP.</p> <p>The logframe can help you to engage in e-mail dialogue with your intended partners as it provides a basis for discussing and developing the aims and design of a project.</p> <p>You may need to make some modifications to the logical framework as you write the text. However, it is best to have the framework of your thinking in place before you prepare text. The discipline of expressing the main objectives of the project at its various levels, and defining the ways by which it will be possible to determine the attainment of objectives (OVIs) and progress towards their attainment (milestones) helps the development of a well ordered coherent text.</p>
<b>GUIDELINE 3</b>	<p><b>Getting started</b></p> <p>Refer to Section 4 of the research call on which you have decided to compete. This provides you with some initial thinking on the project's goal and purpose to guide you into developing the purpose in more detail and deciding on the research objectives (output level of logframe) that can achieve the project's purpose.</p>
<b>GUIDELINE 3</b>	<p><b>Developing the project's logical framework</b></p> <p>An annotated guideline matrix is provided below followed by a blank matrix. Use the blank matrix for your project's logframe, making reference to the annotated version as required.</p>

## LOGICAL FRAMEWORK

Narrative summary	Objectively verifiable indicators	Means of verification	Important assumptions
<b>Goal</b> Refer to Section 4 of the relevant research call. Enter the text provided there into each call of the GOAL level logic			
<b>Purpose</b>			
Refer to Section 4 of the relevant research call Add/modify the text to elaborate the purpose for your proposed research	The development of these OVIs is critical for linking the project's stated objective (purpose narrative) with the proposed research outputs. The OVIs should be slightly outside the control of the project, but attainable if the outputs are achieved, as planned.	Formulate MoVs which draw mainly on sources of information that are <u>not</u> under the control of the project (i.e., that are external to the project)	Insert external factors that could effect the onward contribution of attainment of the purpose level objective to the goal level objective
<b>Outputs</b>			
Summarise the results that will be achieved (i.e., the changes that the project definitely can achieve). This narrative must not be a 'summing up' statement of a group of activities. Rather, it must express what changes the research aims to achieve. Insert each Output in its own row, numbered sequentially from '1'	Specify how attainment of this change can be monitored in terms of its quality and quantity (QQ) and the required time frame. A process statement (i.e., less precision on QQ) may be valid for some of the results that are specified, e.g., those concerning institutional change.	Formulate MoVs which draw mainly on sources of information and specific products that are under the control of the project	Insert what is relevant to attainment of the purpose of the project
<b>Activities</b>		<b>Milestones and budget</b>	
Specify the activities that are required to attain each output and satisfy the defined OVIs. The activity narrative must explain how you intend to attain the outputs and NOT what work you plan to do that should attain an Output OVI. E.g., a workshop is not an activity. Rather the activity must explain what the workshop is for – e.g., in target area, community perceptions of changes in water resources and reasons for these determined Number the activities sequentially referenced to each Output e.g., 1.1, 1.2, 1.3 etc. Use one row for each group of activities per Output	List the milestones with dates that show progressive implementation and completion of each activity. Add the budget total for each activity if you are budgeting by activity. Otherwise specify the budget by the group of activities that address each Output	Insert what is relevant to attainment of the outputs of the project	
		<b>Pre-condition:</b>	<i>Requirements that are essential to the successful implementation of the project but not under the project's direct control</i>

<b>SECTION 13</b>	<b>LETTER FROM LEAD ORGANISATION</b>
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The following format for the covering letter from the Principal Investigator's Organisation should be used.

**LETTERHEAD**

[Should show physical and postal address, telephone number, fax number and e-mail address (if possessed)]

Date

The Regional Director,  
RAEIN -AFRICA,  
PO Box 23544  
Windhoek  
**NAMIBIA.**

Dear Madam

**Submission of Full Proposal, Title .....**

We are pleased to confirm that we will serve as the Lead Institution for the attached submission in response to the *invitation reference number* and title shown above. We fully authorise **(INSERT NAME OF PI)** who is a staff member of the Organisation to participate in the proposed team as Principal Investigator. We shall accept to be legally responsible for transactions with RAEIN-AFRICA for the delivery of the specified research services if the proposal is finally approved.

Yours faithfully

Signature  
Name and Title of Authorised Signatory.

<b>SECTION 14</b>	<b>LETTER FROM PARTNER INSTITUTIONS</b>
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The following format for the covering letter from the Participating Organisations should be used

**LETTERHEAD**

[Should show physical and postal address, telephone number, fax number and e-mail address (if possessed)]

Date

The Regional Director,  
RAEIN -AFRICA,  
PO Box 23544  
Windhoek  
**NAMIBIA.**

Dear Sir/Madam

**Submission of Full Proposal, Title .....**

I refer to the above-mentioned Full Proposal. This is to confirm that [Mr, Ms, Dr, Prof] is employed by this institution and has been adequately consulted and is fully participating in the design of the research proposal. It is also to confirm that he/she has the permission of the institution to participate in the delivery of research services should he/she be a member of the research team to win the grant.

Yours faithfully

[Name of officer  
**Position of Officer (preferably head of institute)]**

**SECTION 15****SUMMARY OF C.Vs**

In general, reviewers want to know about each investigator's education, professional employment since terminal degree, current appointment (percent research, teaching, and extension; publication record and other information considered to be relevant. The sample format below should be used.

**Format for Summary CV of researcher (2-3 pages per CV))****Name****Male** **Female** **Date of birth****Nationality****Host Institution****Postal address****Physical address****Educational qualifications** [Tertiary and above (unless highest qualification held is less than tertiary) including relevant technical short courses]**Summary of work experience** [in reverse chronological order]**Summary of publication record** [Major recent refereed research papers, non-refereed research reports, outreach/extension publications]**Other** [honours, awards, service to own institution or external groups]