

## **SOUTH AFRICAN NATIONAL IMPLEMENTING ENTITY TO THE ADAPTATION FUND**

### **APPLICATION PROCESS FOR RESEARCHERS WISHING TO OBTAIN APPROVAL TO UNDERTAKE RESEARCH ON PROJECTS THAT ARE EXECUTED THROUGH SANBI'S NIE**

*Version 1: MARCH 2016*

Researchers, including but not limited to students, wishing to obtain approval from SANBI to undertake research on projects that are implemented or executed through SANBI are required to apply for permission to do so.

This application must be submitted to the SANBI staff member who leads the project in question, for consideration and approval by SANBI and members of the relevant Project Steering Committee or Project Coordination Committee. At the time of application, the relevant SANBI staff member will be able to advise the researcher about timeframes for submission and approval.

Researchers must be willing to enter into a Memorandum of Understanding (MOU) with SANBI that sets out principles for:

1. Accessing stakeholders
2. Accessing and using of confidential project information
3. Participation in project learning processes
4. Publication and use of research findings
5. Acknowledgement of SANBI projects

This application must include:

1. A signed copy of this MOU.
2. Research Proposal Details:

Annexure A: A copy of the research proposal (to be attached as Annexure A of the MOU) and, where relevant, a copy of the approval or endorsement from the host institution.

Annexure B: A motivation that clearly explains the proposed research process as it applies to the SANBI project in question. The anticipated involvement of project staff, partners and/ or beneficiaries must be clearly set out. This should include a clear explanation of how the research will be of benefit to SANBI, its partners and/ or project beneficiaries and a clear process for how the findings will be shared.

3. Ethical clearance:

Annexure C: Where necessary, a copy of ethical clearance for the work from the researcher's host research institution (to be attached as Annexure C of the MOU).

This application process applies to researchers wishing to undertake research on projects that are either implemented or executed by SANBI where such researchers do not receive any funding support for their work from SANBI, and where such researchers do not have SANBI staff as co-supervisors.

Where funding support is received from SANBI directly, or where researchers have SANBI staff as supervisors or co-supervisors, SANBI's Student Fund Agreement or Collaborative Agreement process will apply.

**Memorandum of Understanding between**

The South African National Biodiversity Institute, 2 Cussonia Avenue, Brummeria, Pretoria  
(hereinafter referred to as "SANBI")

Herein represented by

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Duly authorised thereto

AND

----- Name

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SA Identity document no *or* Passport number and Country  
Of

-----Institutional Affiliation

(hereinafter referred to as the "Researcher")

## **Purpose**

The purpose of this Memorandum of Understanding (MOU) is to establish a framework for cooperation between SANBI and Researchers wishing to base their research (or part thereof) on projects that are implemented or executed by SANBI and its partners.

In particular, this MOU seeks to ensure that:

- The research is approved by SANBI and its project partners;
- Any research that is undertaken on SANBI projects is ethical;
- Appropriate reporting and communication channels are followed when seeking permission to make contact with or interview project stakeholders;
- Appropriate protocols are followed when accessing stakeholders;
- Access to confidential project information is appropriately regulated;
- SANBI and its partners are aware of any research that is published about the project;
- SANBI and its partners are provided with an opportunity to review manuscripts related to the research prior to publishing; and,
- SANBI, its funders and partners are appropriately acknowledged in any publications that use the projects as case studies.

## **Research proposal details**

A copy of the research proposal, as approved by the research institution to which the researcher is affiliated, is attached in Annexure A.

A clear description of the proposed research process as it applies to the project in question, including anticipated access to SANBI staff, project partners and/ or beneficiaries, is attached in Annexure B.

## **Ethical clearance**

The researcher verifies that any necessary ethical clearance (for human and/or animal studies) required for this research has been obtained from his/ her host institution. Such approval is attached in Annexure C.

In addition the researcher commits to adhere to SANBI's code of ethics for Research, as attached in Annexure D. Where the researcher has no alternative affiliation, the project may need to be submitted to SANBI's ethics committee.

### **Access to project stakeholders**

It is agreed that:

- Access to stakeholders must be facilitated through the project Executing Entities who may, in turn, request facilitation support from sub-Executing Entities, Facilitating Agencies and other local partners.
- Researchers commit to familiarising themselves with local protocols and regulations regarding access to stakeholders and to follow these.
- Researchers commit to obtaining the necessary permissions from additional local institutions and organisations, such as traditional authorities, sector specific councils and boards and local authorities, as required and as advised by SANBI and its partners.

### **Access to confidential project information**

Researchers note that, from time to time, they may be provided with access to confidential project information. This may include but is not limited to written information.

Researchers commit to respecting the confidential nature of such information and to obtain permission from relevant governance structures before such information is used, passed on and especially cited for research purposes.

In some cases, specific protocols may be recommended by local partners.

### **Participation in project learning processes**

Unless otherwise agreed in writing, researchers commit to sharing research material that they generate with SANBI and its partners. This may include databases, maps and other information.

Researchers commit to providing feedback to project partners and beneficiaries who have participated in the research process.

Where feasible, researchers commit to participating in project learning processes so that their findings may be considered in the project learning processes.

### **Publication and use of research findings**

It is noted that:

The design of the Adaptation Fund projects themselves is the intellectual property of SANBI and its project partners.

When drawing on information from the SANBI projects for publication purposes, researchers are required to appropriately acknowledge SANBI, the funders and the main project implementation partners. A standard format will be provided.

Publications are understood to include conference papers, presentations and posters, journal articles, news articles and grey literature.

Researchers commit to providing SANBI and its partners with an opportunity to review manuscripts and other publications related to the research prior to publishing. SANBI and its partners commit, in return, to providing such comment within reasonable timeframes, usually within 4 weeks of receipt. Where SANBI and its partners disagree with research finding or conclusions, this must be noted in the manuscript in question.

Where appropriate, SANBI staff and staff from NIE partner organisations, should be included as co-authors. Such arrangements should be discussed and agreed up front.

Researchers will make SANBI and its partners aware of any publications containing their research about the projects.

**For and on behalf of the Researcher:**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**For and on behalf of the South African National Biodiversity Institute, who warrants that he/she is authorised to do so:**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Place: \_\_\_\_\_

**Annexures:**

Annexure A: Copy of approved research proposal

Annexure B: Detailed proposed process as it applies to the project and anticipated benefits for the project stakeholders

Annexure C: Copy of ethical clearance from host institution

Annexure D: SANBI Code of Ethics for Research