



## **EVALUATION AND RATING**

Application for Evaluation and Rating

Guidelines and instructions  
for completing the application for  
evaluation and rating via the NRF Online  
Submission System

**Please note that the closing date for  
applications is 16 February 2015**

## APPLICATION FOR EVALUATION AND RATING: 2015

Guidelines and instructions for completing the application for evaluation and rating via NRF Online Submission System (<https://nrfs submission.nrf.ac.za/NrfMkII/Default.aspx>)

**Closing date for applicants: 16 February 2015**

### **Important notes**

**Please ascertain your institution's internal closing date as it may be prior to 16 February 2015.**

This document is divided into two main sections:

- A. General information
- B. How to complete the online application:

### **A. GENERAL INFORMATION**

1. The evaluation of researchers is based primarily on the quality and impact of the research outputs in the recent past and is undertaken by national and international peer reviewers who are requested to critically scrutinise the completed research. 'Recent', in the context of the NRF evaluation and rating system, means outputs of the past 8 years, i.e. from **1 January 2007 to 31 December 2014** (for applications which will be submitted for the 2015 closing date). The onus is therefore on applicants to present the necessary evidence in a manner that will enable reviewers to make fair judgement.
2. The following persons are eligible to apply for evaluation and rating:
  - 2.1 **Permanent/fulltime (P/FT) researchers at NRF recognised institutions\***:
  - 2.2 **Fixed term contract/fulltime (C/FT) researchers\*\*** formally affiliated with NRF recognised institutions (e.g. retired researchers, research associates/fellows) who are active researchers with a notable track record in research and/or postgraduate student supervision.
  - 2.3 **Fixed term contract/part time (C/PT) researchers\*\*** at NRF recognised institutions who are active researchers with a notable track record in research and/or postgraduate student supervision and could include
    - a) Persons holding joint appointments between a SA institution and a foreign institution; or
    - b) Persons holding joint appointments between two institutions within SA (of which at least one appointment should be a formal association with an NRF recognised research institution).
  - 2.4 Persons who are **in the process of being appointed in full-time posts** at a NRF recognised institution. A motivation confirming the researcher's employment and proposed start date should be provided before the rating will become valid.

\*NRF recognised research institutions are declared (and gazetted) by the Department of Science and Technology and include Public South African (SA) Higher Education institutions (HEIs), Science Councils and other research performing public institutions. The list is available on the NRF Submission System at: <https://nrfs submission.nrf.ac.za/nrfmkii/>

\*\*The current contract must still be valid at the closing date and institutions need to motivate the institutional benefits in terms of capacity building and/or student postgraduate training as well as the institutional commitment in terms of future support to enable the applicant to retain his/her association. They should preferably provide some commitment that the association will still be in place two years after the rating becomes valid. Applications from researchers in these categories will be screened by a panel for validity of the claims before being processed.

3. This document contains detailed guidelines and instructions for completing the online application for evaluation and rating and **MUST** be consulted before completing the online application. It is recommended that this document is printed and kept close at hand for easy reference while working on the online application.
4. Since some invited peer reviewers may be resident outside South Africa, all applications **must** be submitted in English, as translations will be **not** be done by the NRF.
5. The closing date for evaluation and rating applications for applicants is **16 February 2015**. Applications must be submitted electronically via the NRF Online Submission System (<https://nrfsubmission.nrf.ac.za/NrfMkII/Default.aspx>) to the applicant's institutional research administration, for screening, validation and electronic submission to the NRF.
6. **Please note:**
  - **Applicants are urged to determine the internal closing date for submission to the designated authority at their employing institution and ensure that they strictly adhere to their own institution's internal deadlines as this will be prior to the NRF's closing date.**
  - Applications must successfully pass through the institution's internal evaluation processes before submission to the NRF.
  - A timeout will appear when there is no activity on the system for 25 minutes. Click on the refresh button (in the popup box) as this will enable the continuation/completion of the application. When clicking on the close button the system will close.
7. Please note the following important points:

Rating applications on NRF Online Submission System will be accessible from 8 October 2014 and the system will automatically close at 23:59 on 16 February 2015. **No late applications will be accepted as the IT system is programmed to:**

  - **disallow the creation of rating applications after the closing date**
  - **disallow the submission of existing applications**
  - The only valid application will be the online application.
  - Upload copies of your five best research outputs captured in the section 'Best research outputs in the last 8 years' under 'Attachments'. **Note: Please ensure that the title of each research output correlates with the description e.g. title of article.**
  - Applications must be accurate, comprehensive and contain sufficient detail to allow for proper assessment, as the information supplied provides the foundation on which peer reviewers base their judgements. If applicants do not adhere to this request, their applications will be returned, thus leading to a delay until the next closing date.
  - An \* denotes that this field is **compulsory** when completing the information on the NRF Online Submission System.
  - If migrated data is all in CAPS, please change the title case/lower case (whichever is relevant) as it is difficult to read.
  - Applicants are advised to complete their submissions via the NRF Online Submission System as soon as possible to prevent IT systems' overload at their institutions.
  - **Applicants are advised that should they be successful in obtaining an NRF rating the result will be published on the NRF website.**

## **B. INFORMATION ABOUT COMPLETING THE RATING APPLICATION VIA THE NRF ONLINE SUBMISSION SYSTEM**

### **1. Additional important information**

Selected sections of information **already** captured in the CV section of NRF Online, Interim or NRF Online Submission System (not relevant to users registering on the system for the first time) will automatically be migrated to the rating application. **Please check all the data fields of the migrated information for correctness and completeness.** Most of the fields are self-explanatory and in a number of cases dropdown lists have been included for your convenience. The sections relevant to the rating application are accessible via the Edit Application link.

- Click on the Edit icon next to each section to add or edit the relevant information.
- An \* at the end of a field label within a section denotes that this is a compulsory field, and the section will not be saved unless all compulsory fields have been completed.
- A timeout will appear when there is no activity on the system for 25 minutes. Click on the refresh button (in the popup box) as this will enable the continuation/completion of the application. When clicking on the close button the system will close.
- **Note** - For the narrative sections an A4 page (in font size 10, single spacing) is the equivalent of 5 500 characters and carriage returns are counted as two characters.
- In order to prevent any loss of information should the system go off-line, long text sections (e.g. sections on self-assessment, completed research, and ongoing and planned future research should be prepared in MSWord or other word processing applications and pasted into the relevant sections of the application.
- **Do not insert images, graphics, graphs, tables or mathematical or scientific formulae into the text.** It is especially important to note that when pasting text from any word processing applications (e.g. MSWord) any formatting e.g. underlining and bold text will be lost.
- In text sections where the number of characters has been specified, please check the character counter at the bottom of the text box to see how many characters are left. The system will not allow you to exceed the specified number of characters.
- Click on the SAVE icon before clicking on RETURN TO MENU icon to ensure that information is saved, otherwise all captured data will be lost.
- In the event of an ERROR message appearing, address the errors before clicking on the RETURN TO MENU icon as unsaved information will be lost and you will need to recapture the information.
- The 'Final Submit' button will be enabled once all compulsory fields applicable to the rating application have been completed.

## C. HOW TO COMPLETE THE ONLINE APPLICATION

This section provides details on the information you must include in each section of the online application.

1. Log onto NRF Online Submission System (<https://nrfs submission.nrf.ac.za/NrfMkII/Default.aspx>). Click on the 'My Applications' and then on the 'Create Applications' link. This button will take you to a screen where all open calls to which you could apply, are listed. To create an application for evaluation and rating click on the corresponding 'Apply' button next to the relevant call. This will generate your rating application form.
2. Click on the 'My Applications' and then on the 'List of Applications' link in order to access the rating application created in (1) above. Open your rating application by clicking on the 'Edit' button on the right of the relevant application. **It is not possible to open a previous application and update it to submit for this closing date. A 2015 rating application must be created.**

### 3. Application information


- Select your employing institution through which you will be submitting your application for rating from the dropdown list of institutions. Should your institution not be available for selection from the dropdown list, please click on the 'Support' button, complete the pop-up screen and click on 'Submit'. This will log a call with the NRF Support Desk.
- You are also required to verify the information displayed in the field 'Type of evaluation application' (click on link to document defining the types of application). If you do not agree with the information displayed on the screen select 'No' and indicate the correct information in the 'Comments' box.

There are four types of applications:

- **New application for evaluation** - Researchers who have never applied for rating in the past or researchers who previously applied for rating, but the application was withdrawn.
  - **Re-evaluation by invitation** - Researchers whose rating is current (valid) and who have been invited by the NRF to submit an application for rating.
  - **Re-evaluation** - Researchers whose ratings have lapsed (no longer valid), or researchers whose application for rating was unsuccessful three or more years ago.
  - **Special re-evaluation** - An applicant may apply for special re-evaluation if, since a previous evaluation, he/she has shown such progress that, in the opinion of the relevant authority at the employing institution, the existing rating is quite inconsistent with the applicant's present standing.
- Please select an eligibility type. You will be asked to provide a brief explanation in accordance with the eligibility criteria (click on the link eligibility criteria) **except** if you select 1. **Permanent/fulltime (P/FT) researchers at NRF recognised institutions.**

### 4. Registration details

This screen contains information which you have already supplied.

- An \* at the end of a field label within a section denotes that this is a compulsory field, and the section will not be saved unless all compulsory fields have been completed.
- If any of your information provided has changed since your initial registration/previous update of your registration details, please edit/update the relevant information where applicable.
- The information icon () indicates that there is a tooltip associated with the relevant field. When hovering over this icon, additional information will show.

### 5. Application information

The following information is required in this section:

- Type of Evaluation Application (link to document provided on system)
- Eligibility Type (link to document provided on system)

### 6. Additional information/details

The following additional details are requested in this section:


- Your Web of Science *h*-index
- Your Scopus *h*-index
- Google Scholar Profile – researchers in the fields of mathematics and IT are encouraged to make use of this facility as it enjoys credibility in the community

- Google Citation Profile
- Your primary position (especially relevant if more than one current position is held)
- The following information is required should you hold a dual appointment with two institutions:
  - Name of secondary organisation and email address at secondary organisation
- Additional career profile information – Contract position(s): indicate the contract type, the contract end date must be provided and any contractual obligations with the institution through which you are applying for rating should also be included.

## 7. Contact details

Please ensure that all the fields in this section are complete and correct. Please provide a cell phone number where possible.


## 8. Qualifications

- **Should your qualifications history have been migrated from a previous NRF Online system, please click on 'Edit' and check that all the fields have been completed and are correct.**
- Please fill in all your qualifications (your entire qualifications history), i.e. list your diplomas and/or degrees (e.g. BSc, MSc etc.) obtained and those for which you are currently registered. Please ensure that the level and the degree are the same, e.g. Masters (level) and MSc (degree). **Please do not add the field of study to the degree (e.g. MSc Psychology).** This information is requested in a separate field.
- Please click on 'Add' or 'Add Another' to add a qualification.
- Should you need to edit a qualification, click on 'Edit' to correct or amend existing records.
- In order to sort the records in the grid below, click on the column heading. The default sort order is descending but when clicking the column heading again, it will sort the records in ascending order.
- The information icon () indicates that there is a tooltip associated with the relevant field. When hovering over this icon, additional information will show.

## 9. Career profile

- Please list **all** the positions you have held in the past (including non-academic positions where applicable), as well as your current position. **Note:** Should you select 'Yes' from the dropdown list for your current position, the 'Period to' field will not be displayed.
- Please click on 'Add' or 'Add Another' to add a position.

### Rating applications:

- The current contract must still be valid at the closing date and institutions need to motivate the institutional benefits in terms of capacity building and/or student postgraduate training as well as the institutional commitment in terms of future support to enable the applicant to retain his/her association. They should preferably provide some commitment that the association will still be in place two years after the rating becomes valid. Applications from researchers in these categories will be screened by a panel for validity of the claims before being processed.
- **Note:** Should you hold more than one current position then additional information in the section "**Additional Details/Information**" (Additional career profile information) will need to be completed.
- In order to sort the records in the grid below, click on the column heading. The default sort order is descending but when clicking the column heading again, it will sort the records in ascending order.
- The information icon () indicates that there is a tooltip associated with the relevant field. When hovering over this icon, additional information will show.

## 10. Research Expertise

When submitting an application for rating you may update your research expertise.

- 10.1 **Scientific domain** - Select only **one** scientific domain from the list provided.
- 10.2 **Primary research level(s)** - Select at least one but not more than **two** fields (in order of priority) from the list provided which most appropriately reflect/s your primary level(s) of research.
- 10.3 **Secondary research level(s)** - Select at least one but not more than **four** fields (in order of priority) from the list provided which most appropriately reflect/s your secondary level(s) of research.
- 10.4 **Fields of specialisation** - Please include at least one but not more than **ten** specialisation fields in order of priority (one specialisation per line).

For all of the above a separate entry should be completed for each item. Click on 'Submit' to save each entry and repeat the process.

#### 11. Personal Profile (previously biographical information)

A brief personal profile **must** be provided (**not in bullet form**) giving information not already provided elsewhere in the application.

- The introduction must be written as a narrative and could include a short overview of where, in terms of research, you have come from, what you are interested in (in very broad terms) and where you are now.
- Mention should be made of awards and prizes, membership of editorial boards, membership of national and international scientific committees, and other tangible recognition you have. (The latter could include citations, names of journals for which you have been invited to act as reviewer, etc.). This will enable reviewers to obtain some perspective on you and to assess your major awards and recognition.

The personal profile should not exceed 5 500 characters including spaces (equivalent to one A4 page, font size 10). **Note:** Carriage returns are counted as two characters.

#### 12. Research Outputs

The various types of outputs are listed under the headings: Primary Outputs, Patents, and Secondary Outputs. Please click on these headings to access the outputs linked to each category.

##### Important issues regarding research outputs

- It is important to note that the assessment period for which research outputs will be considered for evaluation is 8 years, which, for the current closing date (i.e. 16 February 2015), is defined as 1 January 2007 to 31 December 2014. However, please also include your **ten** best research outputs **before 2007** under the respective headings below.
- A separate entry must be completed for each research output.
- **All authors should be listed in the field 'All Authors in Order Appearing on Output'. Note: Author(s): This includes biographer/creator/inventor/designer/artist/composer etc.**
- Please use this as the format for all authors: Monteiro, D.S.
- The Harvard method of referencing outputs should be used (see below for examples):
  - If there are **two or three authors**, list them all in order with commas separating each of them, except the last one, which is preceded by "and" e.g. Monteiro, D.S., Olivier, J.I. and Basson A. **Do not use an & sign.**
  - If there are **four or more authors**, list authors to a maximum of eight in the author list. Add "et al." or "and others" after the eighth author.
  - For **outputs produced by a group**, mention the group's name, e.g. ATLAS Collaboration.
  - Please **do not** put a **hard return** between the names of each author (i.e. each name on a separate line), but separate each name with a comma, see example given above.
  - Include (if available) a web address from where these outputs can be easily accessed by your reviewers.
- **For rating applicants: Should a Status of 'In Press', 'Accepted', 'Submitted' or 'Not Relevant', be selected for an output, please note that no year will appear for the output, therefore it will not appear on your application form and will also then not be available for selection as one of your best in the last eight years or one of the ten best outputs from the period prior to the last eight years.**
- Certain journals have implemented Article Numbers. If your output has an article number, please insert it in this field.
- The five best research outputs in the last 8 years are automatically numbered. The field is not editable.
- The NRF is not transgressing any copyright laws as the NRF is not mass producing and is not financially benefitting from the author's work. By submitting the output the author agrees and gives permission to the NRF to make available outputs with a copyright not owned by the author, but owned by a book, chapter in book, an article in a refereed/peer-reviewed journal, a refereed/peer-reviewed conference output, a keynote/plenary address, an article in a non-refereed/non-peer-reviewed journal, a non-refereed/non-peer-reviewed conference output, a technical/policy report, an artefact, a prototype and any other recognised research output to reviewers for purposes of the peer-review process only and will not be placed in the public domain.

- Repetition/duplication of outputs (e.g. as a conference proceeding and a journal article) is strongly discouraged.

**Important Note:** In order to **restrict the length of applications**, researchers have the option of being selective when including outputs in their application for rating. **Outputs from the CV can be 'de-selected' from appearing on the application so that only significant published outputs that may be assessed by your reviewers as enhancing your research status will be included.**

In order to de-select the outputs you wish to omit from your application for rating please do the following:

- Select the output type
- **Remove** the tick in the Application Record box next to the output(s) you wish to de-select
- Click on Save Application Records link
- Click OK on the pop-up message and then click on Return to Menu link

Repeat the process for each output type you wish to include in the application for rating.

## 12.1 PRIMARY OUTPUTS

The following outputs are listed as Primary outputs:

- Books
- Chapters in books
- Refereed/Peer-reviewed conference proceedings
- Articles in refereed/peer-reviewed journals

## 12.2 PATENTS

The following information must be provided for each patent:

- Please provide information on all past and current patents under your name or as a result of a collaborative effort. Also include whether the patent is a Utility, Design or Plant patent in the description section.
- In order to add a new patent, click on the Add icon (+). Capture all relevant information in the window that opens on the right-hand side.
- In order to edit a record, click on the Edit icon (✏️) next to the relevant record. Click on the delete icon (-) next to the relevant record to delete it.
- In order to add Application Details for a Patent, click on the Add icon (+) below the relevant Patent.
- The information icon (i) indicates that there is a tooltip associated with the relevant field. When hovering over this icon, additional information will show.
- Only **Granted** patents will show on the rating application.

## 12.3 SECONDARY OUTPUTS

### General information

The description for each of the research outputs listed below should be succinct, i.e. not exceed 2 750 characters including spaces (equivalent to half an A4 page, font size 10.

**Note:** Carriage returns are counted as two characters) and should provide sufficient detail on the research achievements for reviewers to give an informed opinion. Ensure that only one item is entered at a time.

Please remember to check the character counter at the bottom of the description box to see how many characters are left. The system will not allow you to exceed the specified number of characters.

**Do not provide an exhaustive list of your additional research outputs from which there were no tangible or published outputs but rather be selective and include only your best outputs that may be ACCESSED BY YOUR REVIEWERS and assessed by them as enhancing your research status.**

The following outputs are listed as Secondary outputs:

### Keynote/Plenary addresses

- Please include appropriate descriptions of keynote and plenary addresses (keynote/plenary addresses refer to occasions where research is presented at high level international conferences/symposia etc.).
- **Do not** include addresses to secondary/high school students, **lectures in local/foreign** institutions, etc. as this is not viewed favourably.



### Articles in non-refereed/non peer-reviewed journals

Only include non refereed/non peer-reviewed journals in this section that may be accessible to your reviewers and assessed by them as **enhancing your research status**.

### Other significant conference outputs

These could include published conference proceedings that are not peer-reviewed as well as published abstracts of conference proceedings that are peer-reviewed. Do **not** provide an **exhaustive** list of your conference outputs or list conferences that you attended from which there were **no** tangible or published outputs but **rather be selective** and include only your best outputs that may be assessed by your reviewers as **enhancing your research status**.

### Technical/Policy reports

Please include appropriate references for technical and policy reports. List only those reports that you believe may be assessed by your reviewers as **enhancing your research status**.

### Books/Chapters in books edited by Applicant

Edited works - include in this category publications that you have edited, including introductions or editorial commentary that is not based on substantial original research.

Please note that contributions to publications you have edited that include substantial original research should be listed under 'books' or 'chapters in books'. You should make clear precisely what your contribution has been and the ways in which it includes substantial original research.

### Products

Product – may be defined as something produced; e.g. a commodity, a play, a creation, an invention

- In the 'Description' box a description of the product which includes any relevant references should be provided. It is important that this description is as **comprehensive** as possible within the character restrictions.

#### Artefacts

Artefact –may be defined as an object that has been intentionally made or produced for a certain purpose e.g. a broadcast video, a film, a documentary, an object, an item.

- In the 'Description' box a description of the artefact which includes any relevant references should be provided. It is important that this description is as **comprehensive** as possible within the character restrictions.

### Prototypes

Prototype – may be defined as an original model on which something is patterned e.g. a model, a mock-up, dummies, paradigm.

- In the 'Description' box a description of the prototype which includes any relevant references should be provided. It is important that this description is as **comprehensive** as possible within the character restrictions.

### Other recognised research outputs

- These include any other measurable research outputs that clearly embody new or substantially developed insights, for example, annotated bibliographies, catalogues, CD-ROMS, contributions to major research databases, development and production of software, dictionaries, electronic publications, musical scores, paintings, plant-breeding rights, research guides, scholarly editions, vaccines, websites, etc.
- For all these research outputs **concise** descriptions must be included with particular reference to the **contribution to new knowledge and insights**.

## 13. Best research outputs in the last 8 years

Once you have entered your research outputs in '**CV Information**' of the online complete the section 'Best research outputs in last 8 years'

- This will provide you with a combined list of your research outputs of the past 8 years which you entered in 'Section 1'.

- From this combined list of recent research outputs, identify and indicate **not more than five** outputs that you consider to be your best during the assessment period. For each of these selected entries, give brief reasons, in no more than one or two sentences ( $\pm$  800 characters, including spaces), for your choice. For example: 115 citations since 2003; a novel method or new direction in the field; invited to deliver keynote addresses in Chicago and London on these research findings; top-ranked journal in the field with an impact factor of 3.25; most prestigious conference in my field; exhibited in major galleries around the world, etc.
- Click on the ">" icon next to the relevant Research Output type listed below to access the records under that type.
- Click on the "**Add Another**" button to display a window listing the records from your CV for the selected Research Output type.
- Select the record(s) from your CV that you would like to add to this section and click on the "**Add**" button.
- Once you have identified your best research outputs and entered a motivation, click on the 'Save' button at the bottom of the screen.  
Please note: Select an output, add the motivation and then save before the system logs you off (if you select an output and do not put the motivation in within the 25 minute window, you will be logged out and the output will not be saved as the motivation would not have been added). You can do the motivations offline and cut and paste them into the application as you select the best outputs in order to avoid this happening.

#### 14. **Best research outputs of students supervised in the last 8 years**

The **emphasis** should fall on **research** students (master's and doctoral only) who obtained their degrees under your formal supervision or formal co-supervision and who have produced, in your opinion, the best research outputs (peer-reviewed publications etc.).

Do not include details of your coursework or diploma students. **Only those students who have contributed to your core research area** during the period under review (i.e. **1 January 2007 – 31 December 2014**) should be included in the submission.

**Provide full references** of the research contribution(s), i.e., notably peer-reviewed publication(s), patent(s), emanating from the students' research in the "Description" block. If you have already provided these outputs amongst your **own research outputs** (in terms of co-authored outputs) please **do not repeat them here but provide suitable cross-references**.

The data should not exceed 5 500 characters including spaces (equivalent to one A4 page, font size 10). **Note:** Carriage returns are counted as two characters. Remember to check the character counter at the bottom of the description box to see how many characters are left. The system will not allow you to exceed the specified number of characters.

#### 15. **Best research outputs prior to last 8 years**

If you have research outputs **preceding 2007**, your rating application will be enhanced if you provide reviewers with some indication about the best work which you have done in this period. You are given the opportunity to provide up to ten research outputs which you consider your best before 2007. To do this you will have to **capture these outputs in the relevant section(s)** in order for them to appear in the section 'Best research outputs prior to last 8 years'.

Once you have added the research outputs in the respective sections, click on the link 'Best research outputs prior to last 8 years'. Click on the 'Add' button at the bottom of the screen.

- Identify not more than **ten** of your best research outputs prior to the last 8 years, by ticking the 'Add' box on the right hand side of the output.
- No motivation is required in this case.
- Click on the ">" icon next to the relevant Research Output type listed below to access the records under that type.
- Click on the "**Add Another**" button to display a window listing the records from your CV for the selected Research Output type.

- Select the record(s) from your CV that you would like to add to this section and click on the "Add" button.

#### 16. Brief description of completed research

A succinct **narrative** of accomplished research **emphasising only achievements over the last 8 years**, and with reference to the relevant research outputs listed for the last 8 years, must be provided. If the relevant outputs may not have been read by, or be accessible to reviewers, it is essential that you include a brief but concise description of the work done, a summary of the results achieved and an explanation of the significance of the work.

The Brief description of completed research should be similar to writing a review of your work and the progress of findings (like in a journal review or introduction/background in an article). Citations, invitations etc. can be included here as you are describing the research but not the roles of the individuals involved.

Your statement on your completed research should not exceed 11 000 characters including spaces (equivalent to two A4 pages, font size 10). **Note:** Carriage returns are counted as two characters). Remember to check the character counter at the bottom of the description box to see how many characters are left. The system will not allow you to exceed the specified number of characters.

#### 17. Self-assessment of research outputs

Use this opportunity to use the first person and to describe the role that you played in the work. This is very important as so much work is collaborative; this your chance to tell reviewers all the "good" things people have said about you and your work but being careful not to overdo it.

An assessment of your own contributions to your research field over the last 8 years must be provided. The self-assessment should also be in the form of a **narrative**, where special emphasis should be placed on those contributions listed amongst the best research outputs. Please provide an account of how these best research outputs reflect the development and growth of your research during the recent years. Mention should be made of instances where you have, in your view, made noteworthy contributions to the extension of knowledge in your field, as well as how your work relates to others in your field. Your self-assessment should only relate to research done during the last 8 years.

- **Where more than one person has contributed to the research outputs you have listed you must describe your own contribution to the team effort in this section.**
- Repetition/duplication of outputs (e.g. as a conference proceeding and a journal article) is strongly discouraged.

Your self-assessment statement should not exceed 5 500 characters including spaces (equivalent to one A4 page, font size 10). **Note:** Carriage returns are counted as two characters. Remember to check the character counter at the bottom of the description box to see how many characters are left. The system will not allow you to exceed the specified number of characters.



#### 18. Ongoing and planned future research

Provide a brief but comprehensive statement in the form of a **narrative** on your ongoing and planned future research. This must include your research vision for the next six years as well as a concise discussion of your envisaged research activities during this period. Your statement should not exceed 5 500 characters including spaces (equivalent to one A4 page, font size 10). **Note:** Carriage returns are counted as two characters. Remember to check the character counter at the bottom of the description box to see how many characters are left. The system will not allow you to exceed the specified number of characters.

- **Any outputs that have not yet been published/produced, (i.e. those 'in press' or 'accepted' or 'submitted' or 'provisional' patents) should be included in this section.**

#### 19. Assessment panel

**At least one assessment panel** (and a maximum of three assessment panels) **must be selected from the dropdown list of assessment panels**. Indicate the name of the assessment panel which is **most appropriate for your research** by clicking on the 'Add' button. Consult the document, 'Key research areas

and types of research outputs' (see document under section NRF Call Information documents on the Edit Application screen) in order to ascertain the most appropriate panel. Select an option in the Panel dropdown list and click on 'Submit'. If more than one assessment panel is appropriate, as in the case of multidisciplinary studies, indicate this by repeating this process. Please indicate the most appropriate choice amongst the assessment panels listed by using the 'Update Order' function. Use the  and  to move your selection higher or lower in the order.

**It must be noted that applications will be referred to one panel only, i.e. the panel selected as your first choice. However, should the Specialist Committee members of this panel be of the opinion that the application would be better suited by being referred to another panel, the application will be sent to the members of the Specialist Committee of the suggested panel for their opinion. Once the Specialist Committee members of both panels agree on the most appropriate panel to handle the application, the applicant and employing institution will be advised of this and given the opportunity to agree/disagree with the movement of the application to another panel.**

Specialist Committee members (the members of each panel consist of a Chairperson, Assessor and a Specialist Committee of 3 – 6 experts in the field) can, at their discretion, consult with specialist committee members from other assessment panels as and when required, especially about the selection of appropriate reviewers. **It must be stressed that the role of these panels in the evaluation process is to select peer reviewers and to make recommendations to the NRF on applicants' ratings based on the reviewers' reports and the applicants' submission. Members of these panels must not be confused with the peer reviewers of applicants.**

The assessment panels which have been constituted to handle applications for evaluation and rating are the following:

Panel	Panel
Animal and Veterinary Sciences	Anthropology, Development Studies, Geography, Sociology and Social Work
Basic and Applied Microbiology	Biochemistry, Molecular and Cell Biology
Chemistry	Communication, Media Studies, Library and Information Sciences
Earth Sciences	Economics, Management, Administration and Accounting
Education	Engineering
Health Sciences	Historical Studies
Information Technology	Law
Literary Studies, Languages and Linguistics	Mathematical Sciences
Performing and Creative Arts, and Design	Physics
Plant Sciences	Political Sciences and Philosophy
Psychology	Religious Studies and Theology

Should none of the listed panels be appropriate, please indicate a suitable assessment panel by clicking on the 'Suggest' button at the bottom of this screen and type in the appropriate panel name in the textbox. Click on 'Submit'. (However, remember that at least **one** panel must be selected from the dropdown list of existing assessment panels.)

## 20. Is your research multi-disciplinary and/or interdisciplinary?

In order to assist the Specialist Committees to select the most appropriate primary panel, please explain in which field/discipline your primary contribution in the last eight years has been made. Please refer to the section entitled Assessment Panel.

## 21. Feedback

Kindly note that:

- All applicants will receive feedback except those researchers who are placed in the A1 rating or
- Those applicants who selected not to receive feedback.
- Reviewers will remain anonymous.

## 22. Possible reviewers

Provide names and full contact details of **six** reviewers **in order of priority** who are best able to assess your recent research activities and contributions. As this is an international peer-review, where possible, please nominate reviewers from both South Africa and abroad.

Reviewers need not be restricted to researchers in the higher education sector.

**Where possible reviewers from the same department as the applicant should not be selected and refrain from nominating more than one reviewer from the same institution.**

In each case please provide a **motivation** for selecting a particular reviewer (e.g. reviewer is top researcher in the field). This will provide Specialist Committees with additional information in the selection of reviewers. The association that you have with the reviewer should be clearly articulated (e.g. PhD supervisor, co-worker etc.). Please ensure that the information as requested is supplied in full, and that it is accurate and current. It is especially important that email addresses are correct.

## 23. Excluded reviewers

Applicants are also given the opportunity to identify those reviewers (not exceeding three) who the NRF should not approach as reviewers for the application. A reason will be required in each instance. Although the NRF would normally not approach such reviewers, it does reserve the right to do so if it is regarded as necessary.

**We strongly advise applicants to scrutinise and check their application thoroughly before submitting it for approval by the employing institution in order to ensure that no inaccurate and/or incomplete information is contained in the application. Any misrepresentation (innocent or otherwise) contained in your application will be viewed in a serious light.**

## 24. Declaration

Before being able to submit your application to your Designated Authority, the following declarations must be agreed to:

- 'I certify that the information contained in my application for evaluation is correct and that all the relevant information as required in the guidelines has been provided.'
- 'I am aware that in the case of detection of ethical breaches in terms of the information provided in this application the assessment of my application will be terminated.'
- 'I am aware that should I be successful in obtaining an NRF rating the result will be published on the NRF website.'

## 25. Attachments

- Please upload copies of your best research outputs captured in the section 'Best research outputs in the last 8 years' here using the instructions below. **Do not** upload any outputs/documents **other than the outputs listed as one of the 'Best research outputs in the last 8 years'**. Please click on the "View" link to each attachment and ensure that the attachment opens properly (i.e. a maximum of five outputs can be uploaded).
  - Select the Document Type to be uploaded.

- Capture an appropriate Description. **Note: Please ensure that the title of each research output correlates with the description e.g. title of article.**
  - Click the Browse button below to select the file on your local machine.
  - Click on the Upload button to save.
- **No zipped files can be uploaded as they do not open.** Acrobat reader has built-in security to prevent the opening of zip files by default (please read the article at <http://forums.adobe.com/thread/520515> for more information).
  - If any of your best outputs in the last eight years is larger than 4MB, or split into more than one file, please email [researchoutputs@nrf.ac.za](mailto:researchoutputs@nrf.ac.za) in order for us to send you a link to upload your large research output(s). These outputs will not show on the application but will be stored on the NRF server and will be accessible to reviewers when the application is sent out for review.
  - For research outputs that are not available in an **up-loadable** format (e.g. a music performance/patents/products, etc.), applicants are requested to upload a short **framing document** (this document should explain the conception of the research output, its practical context and the theoretical concerns informing it and how it contributes to fresh/new understanding. The document could include references to websites, review documents etc. that will enable prospective reviewers to understand the context of the research output.
  - The NRF is not transgressing any copyright laws as the NRF is not mass producing and is not financially benefitting from the author's work. By submitting the output the author agrees and gives permission to the NRF to make available outputs with a copyright not owned by the author, but owned by a book, chapter in book, an article in a refereed/peer-reviewed journal, a refereed/peer-reviewed conference output, a keynote/plenary address, an article in a non-refereed/non-peer-reviewed journal, a non-refereed/non-peer-reviewed conference output, a technical/policy report, an artefact, a prototype and any other recognised research output to reviewers for purposes of the peer-review process only and will not be placed in the public domain.

## 26. Print Preview of your application

Should you wish to preview your application, click on the **'Print Preview'** button at the bottom of the 'Edit Application' screen. The 'Print Preview' version of your application will be displayed on the screen. Right click and select 'Print' from the dropdown options to print your application.

## 27. Submitting your application

When you have completed your application, click on the **'Final Submit'** button at the bottom of the 'Edit Application' screen. Once this is done, you will not be able to edit the application (i.e., it will become a 'READ ONLY' document) and the 'Edit' button next to the application ('My Applications' screen) will become a 'View' button. **This will notify the Designated Authority at your institution that your application has been submitted to them for further processing.** A .PDF version of your application will be generated once your application has been electronically submitted to the designated authority. Should any changes need to be made after the 'Final Submit' button has been clicked, the Designated Authority (DA) will have to 'unlock' your application.

## 28. Support Desk

Should you experience any problems, please click on the 'Support' button, complete the pop-up screen and click on 'Submit'. This will log a call with the NRF Support Desk. The Support Desk can alternatively be contacted by telephone (012 481-4202) or by e-mail ([supportdesk@nrf.ac.za](mailto:supportdesk@nrf.ac.za)).

The following Reviews & Evaluation staff members are involved with applications for evaluation and rating and are available for support from Mondays to Fridays from 08:30 to 13:00 and from 13:30 to 15:30.

<b>Name</b>	<b>Designation</b>	<b>Telephone</b>	<b>Email</b>
Mrs Lesley Di Santolo	Professional Officer	012 481 4075	<a href="mailto:lesleyd@nrf.ac.za">lesleyd@nrf.ac.za</a>
Ms Anita Basson	Liaison Officer	012 481 4247	<a href="mailto:anita@nrf.ac.za">anita@nrf.ac.za</a>
Ms Wieneke Huizinga	Liaison Officer	012 481 4052	<a href="mailto:wieneke@nrf.ac.za">wieneke@nrf.ac.za</a>
Mrs Lizzy Ledwaba	Liaison Officer	012 481 4089	<a href="mailto:eledwaba@nrf.ac.za">eledwaba@nrf.ac.za</a>
Mrs Nomasonto Masilo	Liaison Officer	012 481 4152	<a href="mailto:nomasonto.masilo@nrf.ac.za">nomasonto.masilo@nrf.ac.za</a>
Ms Gomotsegang Monaise	Liaison Officer	012 481 3036	<a href="mailto:gomotsegang@nrf.ac.za">gomotsegang@nrf.ac.za</a>
Mrs Desireé Sassman	Liaison Officer	012 481 4199	<a href="mailto:desiree@nrf.ac.za">desiree@nrf.ac.za</a>

October 2014

## **Application Statuses**

The following is an explanation of each of the statuses that an application can have:

### ***In Progress***

This status means that an application has been created by an applicant.

### ***Submitted to Institution***

This status means that the applicant has completed the application and clicked the Final Submit button. An applicant cannot edit their application when it has this status.

### ***Under Designated Authority Review***

This status means that the Designated Authority at the relevant institution is processing/reviewing the application. An applicant cannot edit their application when it has this status.

### ***Designated Authority Submitted to NRF for review***

This status means that the relevant Designated Authority has "approved" the application and that it is available for the NRF to proceed with its internal processing. An applicant cannot edit their application when it has this status.

### ***Open for Amendment***

This status means that the relevant Designated Authority has enabled the application to be edited ('unlocked') by the applicant due to information being missing etc.

### ***Rejected by DA***

This status means that the relevant Designated Authority has rejected the application. An applicant cannot edit their application when it has this status.

### ***Call Closed***

This status means that the relevant call has closed. The application is no longer available for processing by the relevant Designated Authority, or cannot be edited if it was previously opened for amendment by the Designated Authority.



## **DESIGNATED AUTHORITY (DA) CHECKLIST**

<b>Section</b>	<b>Checked</b>
<b>Application Information*</b>	
- Confirmed that the application type is correct	<input type="checkbox"/>
- Selected the correct eligibility type	
- Provided a brief explanation in accordance with the eligibility criteria selected	
<b>Registration Details</b>	<input type="checkbox"/>
- Checked that the details are correct/details have been updated where necessary	
<b>Additional Details/Information</b>	
- <i>h</i> -Indices and Google scholar/citation profile (and date drawn) included	
- Dual appointment (if any) included	<input type="checkbox"/>
- Contract positions and contractual arrangement with the institution through which you are applying for rating included	
<b>Contact Details*</b>	<input type="checkbox"/>
- Checked that the contact details are correct/details have been updated where necessary	
<b>Qualifications*</b> (applicants need to verify that migrated data is complete/correct)	
- Checked that field of study has been included	<input type="checkbox"/>
- Institution where degree was obtained is listed	
- One qualification has been marked as the highest	
<b>Career Profile*</b>	
- At least one position is marked as current	
- If <b>a contract position</b> is listed as being the <b>current</b> position, then the contractual arrangement with the institution through which you are applying for rating must be valid from when the rating becomes effective and the end date of the contract should be for a minimum period of two years from this date in order to be eligible to apply for rating	<input type="checkbox"/>
- Is more than one contract position is listed, and if so, is the criteria mentioned above met?	
- If more than one permanent position is listed, has the secondary institution been captured on the Additional Details/Information screen?	
<b>Research Expertise*</b>	<input type="checkbox"/>
- Checked that the research expertise information has been provided	
<b>Personal Profile*</b>	
- Checked that the Personal Profile is in line with the guidelines	<input type="checkbox"/>
- Checked that the text has not cut off (exceeded the allowable number of characters)	
- Checked that hard returns have not been inserted at the end of each line (i.e. text should wrap)	
<b><u>RESEARCH OUTPUTS</u></b>	
- non-compulsory sections but <b>some</b> outputs must be included on the application for rating, otherwise regarded as premature)	<input type="checkbox"/>
<b>Please check that the names of outputs with multiple authors have been strung together and not listed on a separate line.</b>	
<b>Articles in Refereed/Peer-reviewed Journals</b>	
- Does the applicant's name appear on the list of authors?	
- Applicant's contribution* - may include a % but must indicate the contribution made by the applicant to the output	<input type="checkbox"/>
(*= compulsory section)	
<b>Books</b>	
- Does the applicant's name appear on the list of authors?	
- Applicant's contribution* - may include a % but must indicate the contribution made by the applicant to the output	<input type="checkbox"/>
(*= compulsory section)	
<b>Chapters in Books</b>	
- Does the applicant's name appear on the list of authors?	
- Applicant's contribution* - may include a % but must indicate the contribution made by the applicant to the output	<input type="checkbox"/>
(*= compulsory section)	

### **Refereed/Peer-reviewed Conference Outputs**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Patents**

- Only patents with a **granted** status are included on the rating application

### **Keynote/Plenary Addresses**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Articles in Non-refereed/Non-peer Reviewed Journals**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Other Significant Conference Outputs**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Technical/Policy Reports**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Books/Chapters in books edited by Applicant**

- Applicant's contribution\* - must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Products**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Artefacts**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Prototypes**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Other Recognised Research Outputs**

- Does the applicant's name appear on the list of authors?
- Applicant's contribution\* - may include a % but must indicate the contribution made by the applicant to the output   
(\* = compulsory section)

### **Best Research Outputs in Last 8 Years \***

- Has a minimum of 1 and a maximum of 5 outputs been selected and a suitable motivation included justifying the selection of the output as being one of the best in the last 8 years?

**Best Research Outputs from Student Supervision in Last 8 Years**

- Narrative section and should not just include a list of students supervised in the last 8 years
- The name, degree and year obtained as well the best research output(s) emanating from the supervision of the student should be included

**Best Research Outputs Prior to Last 8 Years**

- A maximum of 10 outputs can be selected

**Brief Description of Completed Research \***

- Checked that the text has not cut off (exceeded the allowable number of characters)
- Checked that hard returns have not been inserted at the end of each line (i.e. text should wrap)

**Self-assessment of Research Outputs \***

- Checked that the text has not cut off (exceeded the allowable number of characters)
- Checked that hard returns have not been inserted at the end of each line (i.e. text should wrap)

**Ongoing and Planned Future Research \***

- Checked that the text has not cut off (exceeded the allowable number of characters)
- Checked that hard returns have not been inserted at the end of each line (i.e. text should wrap)

**Assessment Panel \***

**Is your research multi-disciplinary?**

- Selected Yes/No if research is multi-disciplinary?

**Feedback \***

- Selected Yes/No for feedback?

**Possible Reviewers \*** (should not include more than one from the same institution, no reviewers from applicant's department, be selective when choosing reviewers from own institution)

- Listed 6 possible reviewers
- Included an email address
- Included an institution
- Indicated the applicant's association with the reviewer
- Indicated the reason for nomination

**Excluded Reviewers** (can nominate a maximum of three, must provide reasons for exclusion)

- Have any reviewers been excluded and if so, are they legitimate reviewers? (Some applicants make up fictitious reviewers because they think they have to have something in this section. These "reviewers" must be deleted as they populate out database with rubbish.)

**Declaration \***

- Applicant has ticked each question without provisos being included elsewhere in the application (e.g. agree to rating being published on the website but indicating elsewhere in the application that they do not agree to this.) If all questions are not accepted unconditionally, the application will **not** be processed.

**Attachments \***

- Copy of each output in the last 8 years uploaded (except if the output exceeds 4 MB, then must be submitted to the NRF to be uploaded onto NRF server)
- Checked that attachments open (**No zipped files can be uploaded, they do not open**)
- Where necessary, a Framing document uploaded for outputs that are not available in an **up-loadable** format (e.g. a music performance/patents/ products, etc.)

**Additional comments from DA with regard to any of the sections above**