



FRAMEWORK FOR REVIEW OF PROPOSALS
SOUTH AFRICAN RESEARCH CHAIRS INITIATIVE
(SARChI)

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Abbreviations and Acronyms

DST	Department of Science and Technology
DVC	Deputy Vice Chancellor
GMSA	Grant Management and Systems Administration
HICD	Human and Institutional Capacity Development
HRDS	Human Resource and Development Strategy
MTSF	Medium Term Strategic Framework
NRDS	National Research and Development Strategy
NRF	National Research Foundation
NSI	National System of Innovation
SARChI	South African Research Chairs Initiative
SET	Science, Engineering and Technology
RISA	Research and Innovation Support and Advancement

1. CONTEXT

1.1. Strategic Context

The White Paper on Science and Technology and the National Research and Development Strategy (NRDS) placed emphasis on the need for South Africa to transform its Science, Engineering and Technology (SET) workforce. Other policies and strategies of government, including the Human Resource Development Strategy (HRDS) and the Medium Term Strategic Framework (MTSF) note the shortage of high-level skills as a significant constraint in the development of the economy and society.

In this regard, South Africa must produce a greater number of highly skilled individuals; particularly in SET, to achieve the goal of *“an equitable, sustainable, and inclusive growth path that brings decent work and sustainable livelihoods, education, health, safe and secure communities, and rural development”*.

The South African Research Chairs Initiative (SARChI) was established in 2006 by the Department of Science and Technology (DST) and is managed by the National Research Foundation (NRF) of South Africa. It is a strategic intervention of the South African government designed to attract and retain excellence in research and innovation at South African universities. In particular, the programme is aimed at increasing national scientific research capability through the development of human capacity and stimulating the generation of new knowledge. It is also intended to support the realisation of South Africa’s transformation into a knowledge-based economy in which the generation of knowledge translates into socio-economic benefits.

SARChI is thus designed to significantly expand the scientific research and innovation base of South Africa in a way that supports implementation of the national Research and Development policies.

1.2. SARChI Objectives

SARChI is a national knowledge and human resource development intervention aimed at strengthening and improving the research and innovation capacity of public universities for producing high quality postgraduate students, research, and innovation outputs. The main objectives of SARChI are to:

- Expand the scientific research and innovation capacity of South Africa;
- Improve South Africa's international research and innovation competitiveness while responding to social and economic challenges of the country;
- Attract and retain excellent researchers and scientists;
- Create research career pathways for highly skilled, high quality young and mid-career researchers; and
- Strengthen and improve research and innovation capacity of universities for producing high quality postgraduate students, research, and innovation outputs.

1.3. SARChI Guiding Principles

The following principles will inform the awarding of Research Chairs to universities:

- SARChI is a strategic instrument aimed at strengthening research and innovation capacity in public universities, enhancing the training of a new generation of researchers and the further development of established researchers in all knowledge areas while responding to national priorities and strategies;
- SARChI is a programme for universities, and Research Chairs may be held by a university in partnership with a public research institution such as; another university, a science council, a national research facility or an academic health complex;

- Universities bid for Research Chairs in an open and competitive process, hence Chairs are not pre-allocated to institutions. However, particular opportunity will be afforded to universities of technology, rural-based institutions and those that have historically not participated in this programme but now meet the requirements of the initiative;
- There will be no restriction on the number of Research Chairs that may be awarded to a single institution;
- Research Chairs must be in alignment with the university Programme and Qualification Mix approved by the Department of Higher Education and Training;
- Research Chairs are expected to dedicate at least 95% of their time conducting Chair related research, supervising an average of 10 masters and doctoral students per annum and mentoring emerging researchers. The remainder of the time can be for administration or undergraduate teaching;
- Research Chairs are tenable at two Tiers. Tier 1 is for established researchers that are recognised internationally as leaders in their field and/or have received substantial international recognition for their research contributions. Tier 2 is for established researchers, generally under the age of 40 (forty) years with a strong research, innovation and human capital development output trajectory, and the potential to achieve substantial international recognition for their research contributions in the next five to ten years. Tier 2 Chairs may be considered for upgrading to the Tier 1 level either after the first or second five-year term of appointment. Tier 2 Chairs that do not meet the requirements for appointment at the Tier 1 level after the second five-year term of appointment will exit the SARChI programme; and
- Candidates from abroad that are willing to spend at least 50% of their time, each year, within South Africa are eligible for consideration at the Tier 1 level. This is intended to attract candidates, including African scholars and South Africans in the diaspora that have distinguished themselves in their research fields for appointment as SARChI Chairs. However, international candidates

at the Tier 2 level are required to reside full-time in South Africa for the duration of the Research Chair award.

1.4. SARChI Review Objectives

Research Chairs are awarded in an open and competitive process comprising two phases namely, Phase 1 and Phase 2. Proposals in both phases will be assessed for merit and the extent to which they address respective foci for each phase through panel and postal peer reviews.

The objective of the Phase 1 review is to evaluate the:

- alignment of the proposed Research Chair with the mission and research strategy of the host university and partner institution where applicable;
- alignment of the proposed Research Chair with national Research and Development strategies;
- alignment of the proposed Research Chair with the directed or thematic research areas identified for this call for applications;
- readiness and commitment of the university to host the proposed Research Chair; and
- potential for the Research Chair to advance research, innovation and postgraduate training at the host university and partner institution.

Phase 2 follows the award of the SARChI Chair(s) to the host universities and requires the submission of a full proposal, that includes a full *Curriculum Vitae* of the nominated candidate and, that provides specific details on the research programme of the awarded Research Chair and a proposed plan indicating how the Research Chair will fulfill SARChI objectives during the first five-year funding cycle of the Chair.

The objective of the Phase 2 review is to evaluate both the nominated candidate and the proposed research programme. Through a process of postal peer review, national and international reviewers will evaluate the following relating to the Phase 2 proposal:

- research and innovation expertise and track record in research and postgraduate training of the nominated candidate, to determine whether the nominee meets the requirements for appointment as a SARChI Chair;
- research and academic standing of the nominated candidate to determine whether the nominee meets the requirements for appointment at the Tier 1 or Tier 2 level;
- alignment of the proposed research plan with the thematic area of the Awarded Chair;
- focus, relevance, scientific merit and feasibility of the proposed research plan;
- human resource development plan including students and emerging researchers;
- strategy and processes for ensuring continuity of Chair activities and student supervision in the case where the Chair will only be resident in South Africa for 50% of his or her time;
- succession planning, particularly where the Chair is expected to retire after the first or second five-year term of appointment;
- appropriateness and feasibility of projected outputs for the first five-year term;
- budget breakdown of the SARChI grant; and
- other sources of funding, including host institution's contribution.

In addition to the rigorous review process in selecting a host university and suitable candidates for Chair positions, annual and five-yearly performance monitoring and evaluation processes are implemented to ensure that individual Research Chair objectives and SARChI programme objectives are met.

2. REVIEW PRINCIPLES

2.1. Confidentiality

In line with the NRF's principles on confidentiality, openness and fairness in the peer review process, SARChI treats information contained in all submitted documents as confidential. All individuals involved with the review and awarding process will be bound to confidentiality. Where a reviewer identifies a need to consult with another expert on a specific aspect of a proposal, the NRF must first be consulted and the confidentiality of the proposal and anonymity of the applicant and the proposal must both be maintained.

2.2. Access to Information

The NRF complies with the Promotion of Access to Information Act (PAIA). The NRF will keep a signed written record of all reviewers' reports and a written record and voice recordings of Review Panel meetings.

Reviewers' comments submitted to the NRF may be provided to an applicant, on a confidential and anonymous basis to allow successful applicants to respond to issues raised as part of the peer review process in an attempt to benefit the research programme and to improve future applications for unsuccessful applicants.

2.3. Conflict of Interest

In facilitating a fair and unbiased review process, in line with NRF procedures, SARChI requires all individuals involved in the review processes to declare any personal and/or professional interests in applications under review. This will enable the NRF and Review Panel Chairs to identify and manage any conflicts of interest.

Conflicts of interest may arise from close links with, or interest in, an institution from which a funding proposal is being considered, for example, employment or academic collaborations; commercial or financial interest; non-financial interest where a member has other interests that may be thought to influence them, either

intentionally or unintentionally; and personal or family interests. A potential conflict of interest may arise where the reviewer is located at the same department or institution as the applicant(s). An absolute conflict of interest is considered to arise where, the reviewer is a close friend or is closely related to the applicant(s), is directly involved in the work the applicant proposes to carry out, or where the co-applicant(s) or project partner(s) is working closely with the reviewer, for example as, a co-author or as a co-supervisor for a postgraduate degree, or has done so in recent years.

In a case of declared conflict of interest with a proposal(s), the individual is released from assessing the specific proposal(s) and requested to recuse him/herself from the discussion of the specific proposal(s).

2.4. Ethical Consideration

The review process relies on the integrity and accountability of reviewers. Reviewers will be selected based on their expertise relating to one or more aspects of the proposal(s) under review. However, reviewers must also be aware of subtle biases that can influence their judgment and recommendations and ensure impartiality at all times.

During the review of a proposal, a reviewer may discover ethical issues that must be considered and addressed by the Chair. It remains the responsibility of the host university to ensure that all research undertaken by SARChI Chairs have the necessary ethical approvals.

2.5. Commitment to Excellence

SARChI drives and maintains quality and excellence in research and innovation through its rigorous review process and careful selection of suitable reviewers based on their academic and research expertise and, understanding of the South African Higher Education System and National System of Innovation (NSI).

Quality reviewer reports add value to the peer review process by providing balanced reports with clear comments and recommendations, a justification for overall rankings and constructive criticism and feedback to applicants.

2.6. Alignment

SARChI is a national strategic intervention of government; therefore applications shall clearly indicate alignment between the proposed research area and national research and social development priorities. To ensure sustained university commitment and prioritisation of research areas in which Research Chairs are applied for, the proposed research area shall be aligned with the host university research strategy.

The programme is aimed at increasing research and scientific innovation at South African universities through the development of human capacity and stimulating the generation of new knowledge. The Research Chairs based at the Universities, Comprehensive Universities and Universities of Technology will therefore align with the mission of the respective institution.

2.7. Delineation of Duties

In order to ensure well informed and impartial decision making relating to the awarding of Research Chairs to universities in Phase 1 and, the approval of Phase 2 proposals and nominated candidates, the proposal review and awarding/approval will be undertaken in a two-step process.

Phase 1 proposals submitted by universities to host Research Chairs will be reviewed by Review Panels comprising of individuals from broad disciplines covering the directed and thematic areas identified for this call for SARChI applications. An Adjudication Panel comprising of respected individuals with knowledge and insights of the Higher Education System and the NSI will consider the recommendations of the review panels and select the 62 Research Chairs to be awarded taking into account the strategic objectives of SARChI and the transformation needs of the sector.

Phase 2 proposals will be evaluated firstly through a postal peer review process by subject specific experts with relevant expertise in the respective applications' research area. Review panels comprising of individuals from broad disciplines will draw on the expert reviewers' written feedback and make recommendations to the NRF for the approval of research programmes and plans and on the suitability of the candidate for appointment as a SARChI Chair.

2.8. Transparency

The peer review process and the criteria for assessing proposals are made public to the research community through this framework document. The names of the review panel members and of the adjudication panel members will also be made available on the NRF website at the end of the awarding and approval process.

3. OVERVIEW OF REVIEW PROCESS

The application for Research Chairs consists of two phases namely, Phase1 and Phase 2. Proposals may be returned to the university without review following an NRF screening process, if the submitted proposal:

- does not meet the announced proposal submission deadline date;
- does not meet the eligibility criteria;
- does not include the requested supporting documentation;
- does not have the required institutional approvals;
- has sections of the application form that have not been completed in full; or
- substantially exceeds the recommended page limitations.

3.1. Phase 1 Review

3.1.1. Purpose of Phase 1 Review

The purpose of Phase 1 of the SARChI application and awarding process is to award Research Chairs to universities that demonstrate readiness, commitment and suitability to host and support the Research Chair(s) as assessed against Phase 1 review objectives presented in Section 1.4 of this document.

3.1.2. Review and Awarding Process

Phase 1 proposals will be reviewed by review panels comprising of individuals from broad disciplines covering the directed and thematic areas identified for this call for SARChI applications. The Phase 1 review panels will make recommendations on whether each proposed Research Chair is:

- highly recommended for awarding;
- recommended for awarding; or
- not recommended for awarding.

An adjudication panel will select Research Chairs to be awarded, based on the recommendations of the review panels and taking into account the following criteria:

- SARChI strategic objectives;
- Readiness of the university to host the proposed Research Chair;
- Alignment with a directed or thematic research area;
- Potential for return on investment;
- Potential socioeconomic impact; and
- Distribution of Research Chairs across universities.

3.1.3. Review Panels

Review Panel meetings will take place at the NRF or a venue indicated by the NRF. The NRF will host four regional briefing meetings before commencement of reviews to orient panel members on the strategic intent of SARChI and on review processes and procedures. All reviewers will be expected to attend at least one of these regional briefing meetings.

Composition of Review Panels

The credibility and quality of the review process depends on the integrity, expertise and experience of the reviewers. Review panels will be constituted based on directed and thematic areas identified for this call for SARChI applications. Reviewers will be appropriately allocated to panels based on their area of expertise. It is not possible to have panel members that are representative of the wide diversity of subjects covered in the Phase 2 proposals. Therefore, panel members will base their recommendations on written reviewer reports provided by subject specific experts that can comment with authority on the Phase 2 proposal.

The composition of the review panels will reflect the race and gender diversity of the South African research community and the institutional diversity of the universities and research institutions.

Each panel will comprise the following participants:

- An external Chairperson;
- An independent Assessor;

- Discipline based Reviewers;
- An NRF Executive Director or Director;
- Secretariat; and
- A Scribe.

Role of Review Panel Members

Panel Chairperson

The panel Chairperson will be an individual of acknowledged credibility and authority, who commands respect within South Africa's NSI. The Chairperson must have research and management experience and be well versed with facilitation methods, such as dealing with points of dispute that may arise during the panel meeting. The chairperson will be responsible for overseeing and providing leadership during the review and plays a role in developing a sense of common purpose amongst the panel members. During the entire course of the panel deliberations, the chairperson ensures that panel members are mindful of and observe the following:

- The context and focus of the review against the background of SARChI objectives;
- The code of conduct and procedures that apply to the review process; and
- The roles and responsibilities of the panel members.

In addition, the chairperson will facilitate discussions on each application and guide panel members towards a consensus decision in an impartial manner.

The Assessor

The role of the assessor is to conduct quality assurance of the panel review process to ensure compliance with the following:

- Ensure that proposals presented for review meet eligibility criteria;
- Ensure that the scoring is fair and independent and, that the same criteria are applied consistently by the review panels in accordance with prescribed scoring rules; and

- Ensure that proceedings at the panel meeting are in accordance with the SARChI Review Framework.

At the conclusion of the panel meetings, the assessor will provide the NRF with a consolidated report that will assist SARChI management to make any necessary amendments that will improve the review process.

Reviewers

Reviewers will be individuals from broad disciplines covering the directed and thematic areas identified for this call for SARChI applications. Individuals with substantial research and/or research management experience and have an understanding of the South African Higher Education System and NSI. Furthermore, they will be individuals with no direct association with any of the proposals for which he/she is serving as a reviewer.

The role of reviewers will be as follows:

- Review proposals submitted by universities against Phase 1 review objectives outlined in Section 1.4 of this document and the criteria described in the scorecard presented in Section 4.1 of this document; and
- Provide a quantitative (scoring) as well as detailed qualitative written evaluation of the proposal. This will be used by the NRF to provide feedback to the applicant for improvement of the research programme or of future applications. Reviewers are required to use the evaluation form provided by the NRF for evaluating proposals and the scorecard provided for scoring proposals.

All proposals will be presented by one or two assigned reviewers, referred to as discussion leaders, before being discussed by the review panel and unanimously agreed upon scores being allocated to each application. The review panel will give a consensus recommendation on whether or not the proposed Research Chair should be awarded.

NRF Executive Directors or Directors

Each panel will be assigned an Executive Director or Director from the NRF. These individuals will function as resource persons to the Chairperson in providing context with regard to the strategic intent and purpose of SARChI and to address any matters requiring clarity.

Panel Secretariat

The secretariat will be drawn from SARChI staff members. The role of the panel secretariat is to provide the panel Chairperson, assessors and reviewers with the following support:

- Administrative and logistical support services;
- Prepare all required review documentation; and
- Prepare a report of the meeting proceedings in consultation with the scribe.

Scribe

The scribe will keep verbatim notes of the discussions during panel meetings, record the proceedings and provide a report for the NRF. If necessary the voice recording of the review panel deliberations will be used to ensure accuracy and completeness of the information captured. This report together with reviewers' written qualitative evaluation will be used by the NRF to provide feedback to the applicant.

3.1.4. Adjudication Committee

Composition of Adjudication Committee

The Adjudication Committee shall comprise of established and reputable members currently or previously holding senior leadership positions in institutions within the Higher Education System and NSI. Members will be selected from both retired and active individuals with a broad understanding of the South African science and education landscape and who have no vested interest in the awarding of the

Research Chairs. A member may also be selected from the international community, if necessary.

Role of the Adjudication Committee

The role of the adjudication committee will include the following:

- Reflecting on all recommendations from review panels; and
- Making a final selection of the 62 Research Chairs to be awarded taking into account the strategic objectives of SARChI and the transformation needs of the sector.

3.2. Phase 2 Review

3.2.1. Purpose of Phase 2 Review

Phase 2 follows the award of the Research Chair(s) to the host universities and focuses on selecting suitable candidates to take up the Research Chair positions. The review evaluates both the nominated candidate and the proposed research programme against Phase 2 review objectives outlined in Section 1.4 of this document.

3.2.2. Review and Approval Process

Phase 2 proposals will be evaluated firstly through a postal peer review process by subject specific experts with relevant expertise in the respective proposals' research areas. Review panels comprising of individuals from broad disciplines will draw on the expert reviewers' written feedback and make recommendations to the NRF for the approval of the proposed research programme and on the suitability of the candidate for appointment as a SARChI Chair.

3.2.3. Postal Peer Reviews

Postal peer reviews will be conducted by subject experts that are individuals with high academic and professional credibility and have achieved international recognition for their research contribution in their field. Individuals will be selected from active researchers from both the national and international research communities.

Role of Postal Reviewers

The role of postal reviewers who are subject experts is to:

- Review proposals against Phase 2 review objectives outlined in Section 1.4;
- Provide expert opinion on the scientific merit of the proposal and feasibility of the proposed research programme;
- Review the nominated candidate against set criteria for the profile of SARChI candidates outlined in Section 1.5 of the SARChI Guide for Applications; and
- Provide a quantitative (scoring) as well as detailed qualitative written evaluation of the proposal. This will be used by the NRF to provide feedback to the applicant for improvement of future applications. Reviewers are required to use the evaluation form provided by the NRF for evaluating proposals and the scorecard provided for scoring proposals.

All proposals will be reviewed by at least three subject experts and three useable review reports for each proposal will be sourced and presented in the Phase 2 panel reviews.

3.2.4.Review Panels

Composition of Review Panels

The composition of the review panels will reflect the race and gender diversity of the South African research community and the institutional diversity of the universities and research institutions.

Reviewers will be individuals from broad disciplines covering the directed and thematic areas identified for this call for SARChI applications. These individuals will have substantial research and/or research management experience and have an understanding of the South African Higher Education System and NSI. Furthermore, lead discussants for proposals will be individuals with no direct association with the Research Chair, the nominated candidate or the department/university in which the Chair will be located.

It is not possible to have panel members that are representative of the wide diversity of subjects covered in the Phase 2 proposals. Therefore, panel members will base their recommendations on written reviewer reports provided by subject specific experts that can comment with authority on the Phase 2 proposal.

Each review panel will comprise of the following members:

- External Chairperson;
- Independent Assessor;
- Discipline based Reviewers;
- NRF Executive Director or Director;
- Secretariat; and
- Scribe.

Role of Review Panel Members

All panel members, except for reviewers, will have the same roles as for the Phase 1 panels as outlined in Section 3.1.3 of this document. Phase 2 panel review members will have access to written reviewer reports, submitted by subject expert reviewer's, on proposals evaluated against Phase 2 review objectives outlined in Section 1.4 of

this document. The review panel will consider the following in making recommendations for the Phase 2 proposals:

- Profile of the nominated candidate;
- The proposed plan to fulfil SARChI objectives, including the strategic considerations indicated in the university proposal;
- The proposed research programme of the Research Chair;
- Specific objectives, outputs and outcomes for the five-year period.
- The proposed budget allocation of the SARChI research grant and projected funding to be leveraged.

The Phase 2 review panel will provide a quantitative (scoring) as well as detailed qualitative written evaluation of the Phase 2 proposal. This will be used by the NRF to provide feedback to the applicant for improvement of the research programme or of future applications. Reviewers are required to use the evaluation form provided by the NRF for evaluating proposals and the scorecard provided for scoring proposals.

All applications will be presented by one or two assigned reviewers, referred to as discussion leaders, before being openly discussed. Unanimously agreed upon scores will be allocated to each proposal.

4. REVIEW CRITERIA AND SCORING

4.1. Phase 1 Panel Review

Assessment of the Phase 1 proposal will not focus on the detailed scientific programme, but rather on the:

- Alignment of the proposed Research Chair with the university research strategy and the identified directed or thematic research area;
- Research strengths, capabilities and competencies of the university in the area of a proposed Research Chair; and
- Commitment of the institution to provide an enabling environment to ensure the success of the Research Chair.

The scoring below will be used by reviewers to assess individual sections of the Phase 1 proposal submitted by universities.

Table 1. Scorecard for evaluating SARChI Phase 1 Proposals

Numeric Score	Meaning of score	Descriptor
5	Excellent	The proposal is well thought through and motivated and, has fully addressed all the issues/requirements in this section.
4	Good	The proposal has addressed all the issues/requirements in this section although there are some issues that the institution is advised to bear in mind.
3	Satisfactory	The proposal has adequately addressed the key issues/requirements in this section. However, there are one or more minor issues that should be addressed before an award may be made.
2	Unsatisfactory	The proposal partially addresses the issues/requirements in this section. However, some key issues/requirements have not been addressed.
1	Insufficient information	The proposal has not provided sufficient information in this section to enable a fair evaluation.

4.2. Phase 2 Postal Peer Review

Phase 2 proposals will be evaluated by subject experts. The subject expert reviewers will evaluate proposals and make recommendations to the review panel on the following aspects of the full proposal:

- Profile of the nominated candidate;
- The proposed plan to fulfil SARChI objectives, including the strategic considerations indicated in the university proposal;
- The proposed research programme of the Research Chair;

- Specific objectives, outputs and outcomes for the five-year period.
- The proposed budget allocation of the SARChI research grant and projected funding to be leveraged.

The reviewers will evaluate and score the Phase 2 proposals using the criteria detailed in Table 2. The qualitative comments and scoring will guide and inform Phase 2 panel review members in making recommendations to the NRF for approval of the nominated candidate and proposed research programme:

Table 2. Scorecard for peer review of SARChI Phase 2 proposals

SCORE	5	4	3	2	1
DESCRIPTOR	Internationally leading	Internationally competitive, leading nationally	Leading nationally, not yet internationally competitive	Nationally competitive	Nationally uncompetitive
REVIEW CATEGORY					
Track record of nominated candidate:	The candidate is outstanding and has a track record that is world leading in terms of the quality and impact of research outputs and, training and mentoring of postgraduate	The candidate is excellent and has a track record that is internationally competitive in terms of the quality and impact of research outputs and, training and mentoring of	The candidate has a track record that is at the forefront nationally and is becoming internationally competitive in terms of the quality and impact of research outputs	The candidate has a track record that is satisfactory but is not at the leading edge in terms of the quality and impact of research outputs and, training and mentoring of	The candidate has a track record that is unsatisfactory in terms of the quality and impact of research outputs and, training and mentoring of postgraduate students and
Research outputs					
Impact of research					
National and international standing					
Masters and doctoral					

<p>postgraduate training</p> <p>Training of emerging researchers, e.g., postdoctoral fellows and academic staff</p>	<p>students and researchers.</p> <p>The candidate meets the requirements for appointment as a Tier 1 SARCHI Chair.</p>	<p>postgraduate students and researchers.</p> <p>The candidate meets the requirements for appointment as a Tier 1 SARCHI Chair.</p>	<p>and, training and mentoring of postgraduate students and researchers.</p> <p>The candidate meets the requirements for appointment as a Tier 2 SARCHI Chair.</p>	<p>postgraduate students and researchers.</p> <p>The candidate does not meet the requirements for appointment as a SARCHI Chair</p>	<p>researchers.</p> <p>The candidate does not meet the requirements for appointment as a SARCHI Chair</p>
<p>Scientific merit</p>	<p>The proposed research programme is highly innovative with novel design and methodologies.</p>	<p>The proposed research programme is innovative with novel design and robust methodologies.</p>	<p>The proposed research programme is original with robust design and methodologies.</p>	<p>The proposed research programme is original with sound methodologies but has a limited number of flaws or omissions that require significant revision.</p>	<p>The proposed research programme has major omissions or conceptual flaws and requires comprehensive revision.</p>
<p>Impact</p>	<p>The research programme addresses a crucial knowledge gap and</p>	<p>The research programme addresses a crucial knowledge gap and</p>	<p>The research programme addresses a knowledge gap in</p>	<p>The research programme addresses worthwhile</p>	<p>The research programme addresses potentially</p>

	will be an internationally unique resource in the discipline. The research outputs have a high potential for scientific innovations or for social or economic benefits.	will be a unique resource in South Africa. The research outputs have a high potential for scientific innovations or for social or economic benefits.	South Africa and will be a useful resource. The research outputs have a reasonable potential for scientific innovations or for social or economic benefits.	scientific questions. The research outputs have a moderate potential for scientific innovations or for social or economic benefits.	worthwhile scientific questions but requires comprehensive revision. There is a low probability for producing scientific innovations or for social or economic benefits.
Human resource development	The proposed human resource development plan for training masters and doctoral students and postdoctoral fellows is realistic and achievable within the timeframe. There are low probability risks that can be managed and that present negligible	The proposed human resource development plan for training masters and doctoral students and postdoctoral fellows is realistic and achievable within the timeframe. There are low probability risks that can be managed and that present moderate	The proposed human resource development plan for training masters and doctoral students and postdoctoral fellows is realistic although there are some potential risks that may present significant consequences for the Chair programme, that	The proposed human resource development plan for training masters and doctoral students and postdoctoral fellows is satisfactory although there are some potential risks that may present high consequences, for the Chair	The proposed human resource development plan for training masters and doctoral students and postdoctoral fellows is unsatisfactory and requires comprehensive revision.

	consequences for the Chair programme.	consequences for the Chair programme.	the Chair is advised to bear in mind.	programme, that the Chair must address.	
Collaboration	The proposed national and international collaborations, partnerships and networks to be formed are outstanding and represents world leading standards. Collaborators and partners have been identified to develop and maintain excellence in this research area.	The proposed national and international collaborations, partnerships and networks to be formed are comprehensive. Some collaborators and partners have already been identified to develop and maintain excellence in this research area.	The proposed national and international collaborations, partnerships and networks to be formed are good although there are some omissions that may present significant consequences for the programme, that the Chair is advised to bear in mind.	The proposed collaborations, partnerships and networks to be formed are satisfactory although there are some omissions that may present high consequences, for the programme, that the Chair must address.	The proposed collaborations, partnerships and networks to be formed are unsatisfactory and require major revision.
Succession plan	The proposed succession plan for developing and mentoring emerging	The proposed succession plan for developing and mentoring emerging	The proposed succession plan for developing and mentoring emerging	The proposed succession plan for developing and mentoring emerging	The proposed succession plan for developing and mentoring emerging

	<p>researchers and new leadership is realistic and achievable within the timeframe. There are low probability risks that can be managed and that present negligible consequences for the continuity of the Chair programme.</p>	<p>researchers and new leadership is realistic and achievable within the timeframe. There are low probability risks that can be managed and that present moderate consequences for the continuity of the Chair programme.</p>	<p>researchers and new leadership is realistic although there are some potential risks that may present significant consequences for the continuity of the Chair programme, that the Chair is advised to bear in mind.</p>	<p>researchers and new leadership is satisfactory although there are some potential risks that may present high consequences, for the continuity of the Chair programme that the Chair must address.</p>	<p>researchers and new leadership is unsatisfactory and requires comprehensive revision.</p>
<p>Research activity plan</p>	<p>The proposed activity plan is outstanding and represents world leading standards. It is realistic and achievable within the five-year timeframe.</p>	<p>The proposed activity plan is comprehensive. It is realistic and achievable within the five-year timeframe.</p>	<p>The proposed activity plan is good although there are some potential risks, that may present significant consequences for the programme, that the Chair is advised to bear in mind.</p>	<p>The proposed activity plan is satisfactory although there are some potential risks that may present high consequences, for the programme, that the Chair must address.</p>	<p>The proposed activity plan is unsatisfactory and requires comprehensive revision.</p>

Budget	The resource allocation of the SARChI grant is reasonable. There are other sources of research funding available. Overall there is the potential for a high return on investment.	The resource allocation of the SARChI grant is reasonable. There are other sources of research funding available. Overall there is the potential for significant return on investment.	The resource allocation of the SARChI grant is reasonable. There are other potential sources of research funding. Overall there is the potential for return on investment.	The budget section has a limited number of omissions or flaws that require significant revision.	The budget section has major omissions or flaws and requires comprehensive revision.
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4.3. Phase 2 Panel Review

The panel will consider postal reviewer reports and allocated scores submitted by subject experts. In summarising the decisions, the panel member will focus on the following areas:

- Profile of the nominated candidate, including her/his qualifications and relevant work experience, publishing and postgraduate student training track records;
- The proposed plan to fulfil SARChI objectives, including the strategic considerations indicated in the university proposal;
- The proposed research programme of the Research Chair;
- Specific objectives, outputs and outcomes for the five-year period;
- The proposed budget allocation of the SARChI research grant and projected funding to be leveraged; and
- Succession plan

For each Phase 2 proposal the review panel will make recommendations to the NRF as outlined in Table 3.

Table 3. Review panel recommendations on SARChI Phase 2 proposals

<p>Nominated candidate</p>	<ul style="list-style-type: none"> • Recommended for approval at the Tier 1 level; • Recommended for approval at the Tier 2 level; or • Does not meet the criteria for appointment as a SARChI Chair and is not recommended for approval.
<p>Research programme and research activity plan</p>	<ul style="list-style-type: none"> • Recommended for approval without any revisions; • Recommended for approval with minor revisions that may be approved by the NRF without further peer review; or • Not recommended for approval and requires major revisions and further peer review.
<p>Proposed Budget</p>	<ul style="list-style-type: none"> • Recommended for approval without any revisions; • Recommended for approval with minor revisions that may be approved by the NRF without further peer review; or • Not recommended for approval and requires major revisions and further peer review.

Following the successful review of the Phase 2 proposal, the NRF may, in consultation with the approved candidate, make adjustments to the budget prior to submitting the Conditions of Grant for approval by the Chair and the host university.

5. RESUBMISSION OF PHASE 2 PROPOSALS

In the event of the nominated candidate not meeting the requirements for appointment as a SARChI Chair or the proposed research programme requiring substantial revision and resubmission, the host university will be permitted one resubmission of the Phase 2 Proposal. Failure to identify a suitable candidate and conclude the appointment process within 18 months of the Research Chair having

been awarded may result in the rescinding of the award to the university and the awarding of the available Research Chair to another institution or department.

6. MEETING PROCEDURES

6.1. Phase 1 Panel Meeting

6.1.1. Briefing Meeting

A briefing meeting will be convened by the NRF Secretariat before the panel meetings to orientate the panel Chairpersons, assessors, reviewers and other panel members on the proceedings, procedures and documents to be used during the review process. This meeting will:

- Provide an opportunity to clarify and discuss issues that the panel members regard as particularly important for the review process; and
- Ensure that the panel members fully understand their responsibilities during the review.

6.1.2. Pre-Evaluation Processes

Panel members will have received all documentation pertaining to proposals assigned to them at least two weeks before the panel meeting. They will therefore have adequate time to acquaint themselves with the proposals in preparation to undertake the following:

- Prepare as Lead Reviewers for proposals assigned to them;
- Prepare a written summary report for each assigned proposal and submit this to the NRF prior to the commencement of the panel meeting; and
- Acquaint themselves with the content of other proposals not assigned to them. They are not expected to provide written reports for these proposals.

6.1.3.Evaluation Panel Meetings

Review panels will evaluate all proposals submitted by the universities and make recommendations based on the criteria and processes outlined in this framework document.

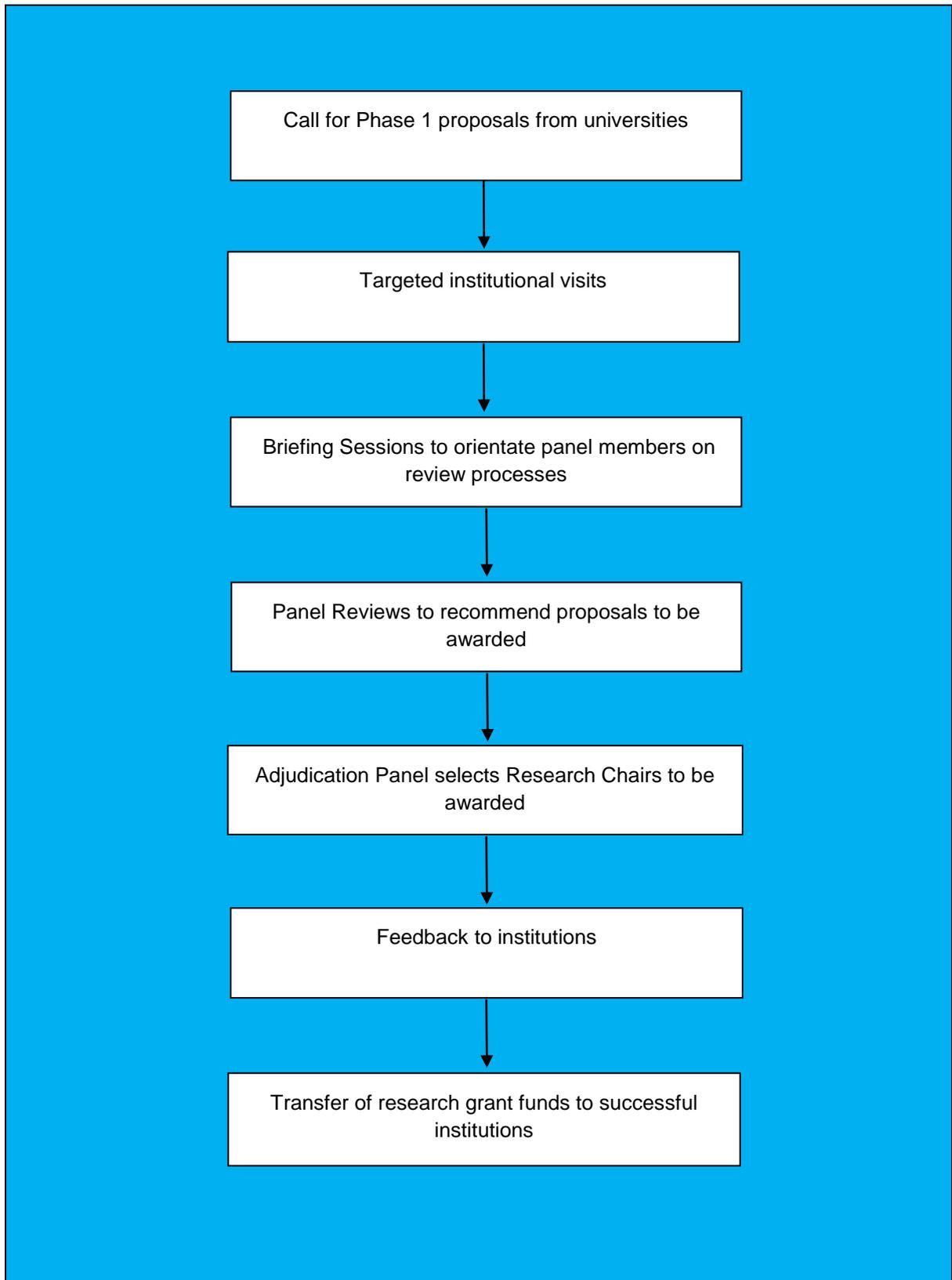


Figure 1: Flow Diagram presenting Phase 1 Review Process

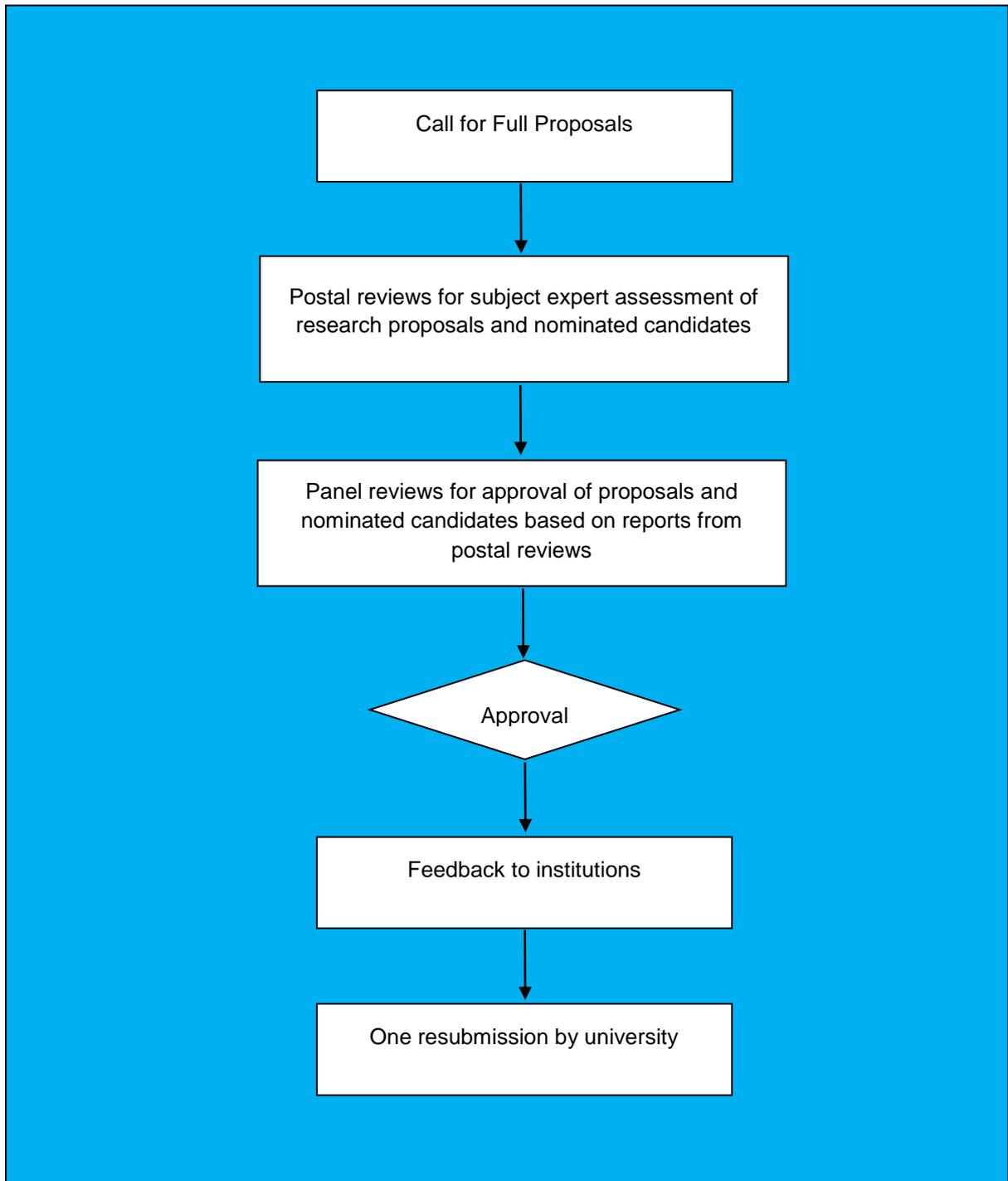


Figure 2: Flow Diagram presenting Phase 2 Review Process

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