

Funding Instrument:

South African Research Chairs Initiative (SARChI)

Domain:

Research Chairs & Centres of Excellence (RCCE)

Document:

Framework & Funding Guide for the DSI/NRF-Sasol Research Chair in Energy and Power Systems Modelling

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1. Introduction

The National Research Foundation (NRF) has entered into an agreement with Sasol to establish a Research Chair in Energy and Power Systems Modelling.

Energy system models guide decision-making on power capacity expansion by illustrating different strategies to meet future demands and environmental targets. In addition, such models can elucidate the role and value of technologies within the power system and indicate optimal times of investment. These tools have become critical in developing plausible, cost optimised and secure energy solutions for Green House Gas (GHG) mitigation strategies. The scenarios generated are used to inform public provincial and national authorities as well as private, corporate decision making on energy and power systems related businesses and policy.

As part of the agreement between the NRF and Sasol, one Research Chair in Power Systems Modelling will be established. The NRF and Sasol are calling for proposals from all public universities and science councils in South Africa to host the Research Chair in Energy Power Systems Modelling.

This document provides detailed information about the SARChI funding instrument and requirements and the specific focus areas of this Chair.

2. Strategic background

2.1. Context

The *White Paper on Science, Technology and Innovation* (2019) and the *National Research and Development Strategy* (2002) emphasise the need for South Africa to transform its Science, Engineering and Technology (SET) workforce. Other policy and strategies of government, including the *Human Resource Development Strategy* (2009) and the *Medium Term Strategic Framework* (2009), 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 SARChI Funding Instrument was established in 2006 by the DSI. This Funding Instrument is managed by the NRF through a contractual agreement with DSI. It is a strategic intervention of the South African government designed to attract and retain excellence in research and innovation at South African universities, science councils and national research facilities. In particular, the instrument is aimed at increasing scientific research capacity 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 economy in which the generation of knowledge translates into socio-economic benefits. SARChI is designed to significantly expand the

scientific research base of South Africa in a way that supports implementation of the national research and development policies. Since inception, 257 Research Chairs have been awarded in various disciplines and research fields.

2.2. Aim and Objectives of the SARChI Funding Instrument

The main aim of SARChI Chairs is to strengthen and improve research and innovation capacity of public universities in order to produce high quality postgraduate students and research outputs. The objectives of the SARChI Funding Instrument 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, economic and transformation imperatives of the country;
- Attract and retain excellent researchers and scientists;
- Increase the production of Masters and Doctoral graduates; and
- Create research career pathways for young and mid-career researchers, with a strong research, innovation and human capital development output trajectory.

3. SARChI Guiding Principles

The following principles will inform the awarding of a DSI/NRF-Sasol Research Chair:

- Applications for the Research Chair is administered through an open call only accessible to a South African public university. Each university may nominate one (1) candidate for this SARChI call who must submit an application. While all demographic groups may apply, preference will be given to females and Blacks, in particular African South Africans and Coloured candidates as they are grossly underrepresented in the SARChI Funding Instrument.
- To ensure equitable distribution of Chairs, while all South African public universities are encouraged to apply, preference will also be given to historically disadvantaged universities and those universities that currently host less than 15 Chairs, provided they meet the minimum requirements for this call.
- The university may also nominate and submit applications from eligible candidates from abroad, specifically females of any race or Africans and Black South Africans of any gender in the diaspora. Applicants from abroad will only be considered for Tier 1 Research Chairs and must be willing to annually spend 50% of their time at the South African university.
- Each application for the Research Chair must be in alignment with the university's Programme and Qualification Mix (PQM) approved by the Department of Higher Education and Training;
- The Chair-holder will be expected to dedicate at least 80% of their time conducting research and in the process supervising an average of 10 Masters and Doctoral students per annum as well as mentoring Emerging Researchers or postdoctoral fellows.
- Research Chairs are tenable at two Tiers. Tier 1 is for candidates who are established researchers and are recognised internationally as leaders in their respective fields and have received substantial international recognition for their research contributions. Tier 2 is for

candidates who are established researchers recognised nationally, with a strong research, innovation and human capital development output trajectory, and have the potential to achieve substantial international recognition for their research contributions in the next five to ten years.

- Candidates appointed without an NRF rating are encouraged and required to get rated within the first funding cycle.
- If the Research Chair is taken up by a candidate who is a current academic staff member, consistent with the SARChI principle of additionally, the university must immediately initiate a process to fill the vacated position with a suitably qualified candidate.

4. Profile and Minimum requirements

The nominated candidate may be current staff members, new or potential recruits. If the Chair is taken up by a candidate who is a current research staff member, consistent with the SARChI principle of additionality, the institution must immediately initiate a process to fill the vacated position with a suitably qualified candidate. The applicant must be an established researcher that holds a doctoral degree, must have an extensive research track record and must submit a proposed research programme that is innovative, original and of high quality.

4.1. Minimum requirements of the SARChI candidate

Any candidate considering to apply must meet these minimum requirements:

- a) The candidate must have a doctoral qualification in a relevant field
- b) The candidate must be an Associate or Full Professor¹ at the time of application
- c) Persons from industry applying must be appointable as an Associate or Full Professor, and the institution must commit to this appointment
- d) The candidate must be an established researcher, recognised at least nationally in their respective research field
- e) Have an extensive research profile, including peer reviewed journal articles
- f) Have an extensive student supervision record and the ability to attract, recruit and train postgraduate students in the field of study that they are applying for.

5. Details and Scope of the DSI/NRF-Sasol Research Chair

Energy and power systems modelling has been used extensively in South Africa in support of the Department of Mineral Resources and Energy's (DMRE) Integrated Resource Planning with the Council for Scientific and Industrial Research (CSIR) supporting Eskom. It has also been applied by the CSIR for Least Cost Optimization for Renewable Energy integration in to the Secunda and Sasolburg operations. While Sasol has strong modelling competency in process and techno-

¹ Applicants need to be at least Associate Professors at the time of application.

economics, they have not historically focussed on energy and power systems models. These model types are now playing an important role to support future sustainability ambitions.

There has been an erosion of modelling capacity from both the CSIR and Eskom over the recent years which is leaving a deficit in providing support to modelling demands in the near and medium term. The White Paper on Science, Technology and Innovation talks specifically about reversing the “brain drain” of South African talent. Energy and power system modelling has become a key component in enabling advancement and understanding in the ascent of the Fourth Industrial Revolution, as system complexity and connectivity increases.

The integration of distributed and variable energy resources into a system whose demand fluctuates requires an ability to model complex dynamics and interdependency responses. This competency is essential to deliver cost optimised systems in managing power supply to process that traditionally run on stable power supply.

5.1. Scope of the Chair in Energy and Power System Modelling

The Research Chair in Energy and Power Systems Modelling will be accountable to develop and grow energy and power systems modelling (E&PSM) competency that is able to optimize and inform a national shift to a diversified, decentralised and dynamic energy demand and supply system.

While each candidate will be expected to propose and outline their research plan, the following seek to direct the research scope of the Chair:

1. Develop a research framework and strategy to support development of a national competency in Energy and Power System Modelling.
2. Enable access, accuracy and consistency of energy system data bases.
3. Establish preferred modelling software platforms and user libraries with a view for open sourcing.
4. Develop dynamic modelling capacity.
5. Access, develop, pool and grow scarce national modelling resources.
6. Ensure advancement in knowledge and skills in discipline area at a global level.
7. Develop a next generation of modellers.
8. Teaching of industrial best practice, including short teaching modules within the undergraduate core engineering courses.
9. Postgraduate research can should also be incorporated into the undergraduate curriculum.
10. Guest lectures and specialist packages will bring advanced current and future thinking in respect of industrial practice.
11. Growing a national and international network, facilitating student exchange.

12. Co-operation with international academic learning institutions.
13. Partner with private sector to facilitate the implementation and use of open-source E&PSM.
14. Broad engagement with and support from South African industry.
15. Develop the capacity to enable the diffusion and uptake of the selected models in local (municipal/ provincial) and national contexts.

6. Application, Review and Selection Process

6.1. Application process

The Call for applications for the DSI/NRF-Sasol Research Chair in Energy and Power System Modelling Research Chair is open to all institutions of higher education. To be considered for review, the application must include, (i) the suitability of a candidate for appointment to the Chair position; (ii) a research and activity plan with concomitant budget drafted by the applicant, (iii) a letter of endorsement from the host institution. All applications must be endorsed by the Deputy Vice Chancellor (DVC) of Research². The proposal must be led by the institution with technical aspects authored by the proposed nominated candidate and approved by the institution to submit a proposal for the Chair.

The application should give details on:

- i. The readiness and commitment of the institution to provide an enabling environment to ensure the success of the Research Chair;
- ii. Strengths, capabilities, strategic environment and competencies of the institution;
- iii. The alignment of the proposed Research Chair with the proposed thematic area and the strategic plan of the institution;
- iv. The potential of the proposed Research Chair to enhance the international research and/or innovation competitiveness within the discipline;
- v. The potential of the research to impact on transformation, the social and/or economic development of the country;
- vi. The research focus of the Research Chair;
- vii. A proposed plan on how the Research Chair will fulfil SARChI objectives, including the strategic considerations mentioned in the proposal; and
- viii. Specific objectives, outputs and outcomes for the five-year period.

² The online application will automatically alert the DVC of Research about applications and request an endorsement. Applicants are also encouraged to get in touch with the office of the DVC of Research prior to the application process.

Candidate(s)³ must use the NRF online system, *NRF Connect* at <https://nrfconnect.nrf.ac.za> to register and/or update her/his *curriculum vitae* and complete the application.

As this award of the SARCHI Research Chair will be made to the institution, the application by the approved candidate has to be supported through the electronic application process. The research office of the institution must undertake the support of the application on the online application. The institution must submit the following documentation to be considered as a host for the Research Chair, through the online application:

- a) Institution's Strategy/Policy/Framework indicating the approach and requirements for research;
- b) Programme and Qualification Mix (PQM) of the affiliated university approved by the Department of Higher Education and Training for universities where the Masters and PhD students are going to be registered;
- c) Details of current academic and research staff of the institution in the specific discipline; and
- d) Statistics on the institution's research outputs and postgraduate students (Masters and PhD) trained and graduated for the period from 2017 to 2021, in the specific discipline.

6.2. Review process of the DSI/NRF-Sasol Chair in Energy and Power System Modelling

Proposals submitted by candidates will be reviewed via a two-tier process, namely; postal peer-reviews by subject specific experts with relevant expertise in the respective applications' research area and panel reviews comprising of individuals from broad disciplines covering the directed and thematic areas identified for this call for SARCHI applications. The 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. Such review panels will comprise of respected individuals with knowledge and insights of the Higher Education System and the NSI and will consider the recommendations of the review panels and select the Research Chairs to be awarded taking into account the strategic objectives of SARCHI and the transformation needs of the sector.

6.3. Selection Criteria

The selection of candidates will be based on the merits of each candidate's full research proposal. This will include the strength of the candidate's profile, including her/his qualifications and experience, publications in the discipline of the Research Chair and postgraduate student

³ No commitment should be given to the candidate(s) by the university before the NRF has officially informed the University of the Award by means of a review panel outcomes letter.

supervision track records. This will also include an assessment of the candidate's research and activity plan in respect of its ability to deliver on SARCHI objectives, as well as a proposed budget.

The full proposal must also give specific details on:

- Proposed teaching/administration to research time ratio;
- Research objectives for the five-year period;
- Expected knowledge⁴ outputs in the first five-year period;
- Expected human capital⁵ outputs in the first five-year period; and
- Existing and planned collaborations in the first five-year period.

The application must therefore demonstrate the following:

- Alignment of the proposed Research Chair with the institutions research strategy and PQM of the affiliated university where Masters and PhD students will be registered;
- Alignment of the proposed Research Chair's focus with that of existing research activities or capacity;
- Institution's commitment for creating an enabling environment with regards to:
 - Office and/or laboratory space.
 - Infrastructure (equipment, IT facilities, etc.);
 - Academic support (information, resource facilities and related research groups);
 - Management and leadership;
 - Financial support (direct and indirect); and
 - Reporting lines and location of the Research Chair within the institutional structure.

6.4. Award levels

Following the peer review process of the full proposal and the *curriculum vitae* of the candidate, the NRF and Sasol commit to co-fund and award one (1) SARCHI Research Chair that can operate at either a Tier 1 or tier 2 level. The award Tier levels are explained in the table below:

⁴ Peer-reviewed journal articles, peer-reviewed conference proceedings, scholarly books and book chapters, patents, invited keynote presentations, conference presentations etc.

⁵ Numbers of Masters and Doctoral graduates and completed postdoctoral fellowships.

Table 1: Criteria for the award of SARChI Tier 1 and 2 Research Chairs

Tier 1 Research Chairs	Tier 2 Research Chairs
<ul style="list-style-type: none"> • Should be appointable at the level of a full Professor benchmarked nationally⁶; • Should be an outstanding and innovative researcher whose accomplishments have made a major impact in their field; • Should be recognised internationally as an undisputed leader in their field and/or have received substantial international recognition for their research contributions; • Should have a superior record in attracting and successfully supervising post-graduate students and postdoctoral fellows, taking into account the practices of the field; and • Should reside full time in South Africa for the duration of the Research Chair award. Candidates from abroad, specifically African scholars and Black South Africans in the diaspora that are willing to spend at least 50% of their time within South Africa are eligible for consideration. 	<ul style="list-style-type: none"> • Should be appointable at the level of an Associate Professor or full Professor benchmarked nationally; • Should be an established researcher, with a strong research, innovation and human capital development output trajectory; • Should have the potential to achieve substantial international recognition for their research contributions in the next five to ten years; • Should have demonstrated the ability to attract and successfully supervise postgraduate students and postdoctoral fellows; and • Should reside full-time in South Africa for the duration of the Research Chair award. Candidates from abroad, specifically African scholars and Black South Africans in the diaspora willing to reside full-time in South Africa for the duration of the Chair are eligible for consideration.

An added advantage for a candidate to be recommended at a Tier 1 level, would be that the candidate must be typically an A- or B-rated researcher. Chairs who meet the Tier level criteria but are not rated at the time of application, must be rated within the first five (5) year funding cycle.

7. Accountability and Management of the Chair

The Deputy Vice-Chancellor responsible for research at the South African host university will be directly accountable for the Research Chair.

⁶ Candidates with exceptional industry background will be considered provided the institution can provide evidence that the candidate is appointable as an associate or full professor, and commit to the appointment after the Research Chair is awarded.

After the Research Chair has been awarded to the institution, the NRF will require the approved candidate for the Chair to enter into a five-year performance agreement in the form of 'Conditions of Grant' and will evaluate the performance of the Chair every five years against the research plan, stated objectives and targets. The plan will be reviewed.

Tier 1 Research Chairs will be tenable for five years, renewable for two further five-year funding cycles giving a total lifespan of 15 years, subject to satisfactory performance by the Chair following each five year in-depth review. Tier 2 Research Chairs will be tenable for five years, renewable for a further five-year period giving a total lifespan of 10 years, also subject to satisfactory performance by the Chair following each five-year in-depth review. Eligibility for renewal will be entirely performance-linked and Tier 2 Chairs may be upgraded to a Tier 1 after the first or second five-year funding period. A tier upgrade will be informed by the recommendations from a five-year term review panel and approved by the NRF and Sasol executive. Refer to Figure 1.

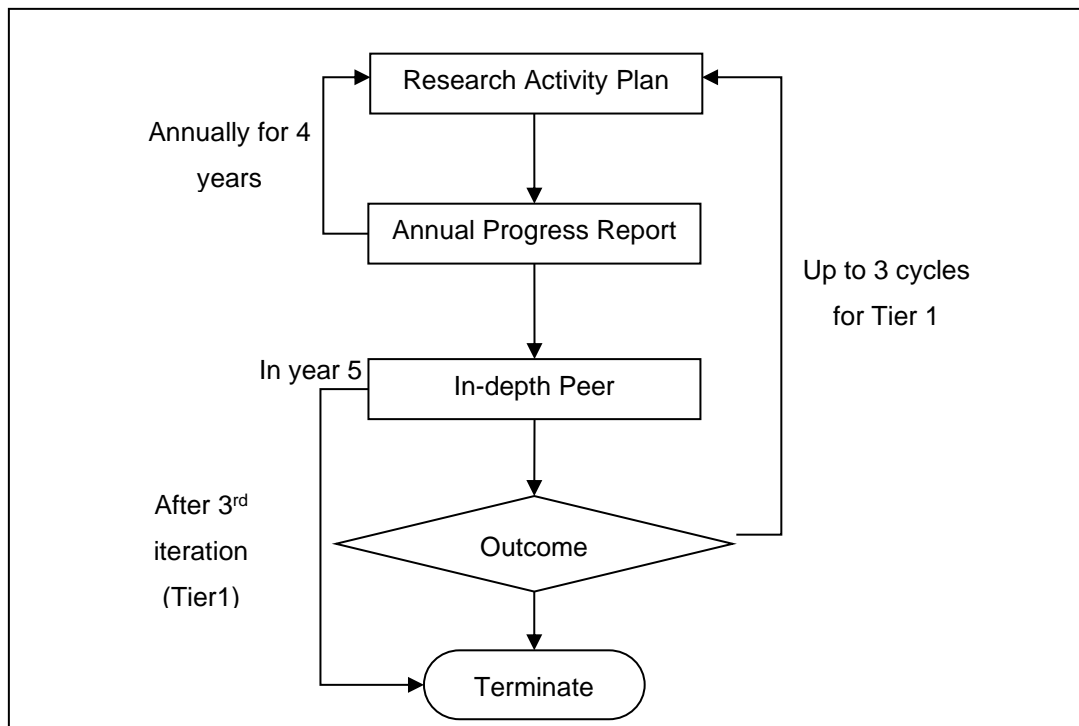


Figure 1: Management of the Chair

At the end of each financial year the incumbent will be required to submit to the NRF a Progress Report (PR) addressing the milestones and expected outcomes as presented in the research activity plan of the application. During year four/five⁷, of the five-year funding cycle, the Research Chair will

⁷ This depends on which semester (one or two) the Chair was taken up by the incumbent.

be subjected to an in-depth evaluation undertaken by peers following the framework set out in the [SARChI Monitoring and Evaluation Framework](#).

8. Funding Levels

SARChI funding instrument provides initial awards of up to R2,180,000 for Tier 1 Chairs and R1,430,000 for Tier 2 Chairs. The award covers salaries; postdoctoral fellowships; research operating costs; research equipment & infrastructure, and overheads for the host institution. The guidelines for apportioning of the grant across these categories and the values of fellowships and scholarships are shown in Table 2.

Table 2: Guidelines for SARChI Budget

Budget category		Sub-item	Cost pa (ZAR)	Minimum number of people	Maximum number of people
Salaries		Chair	700 000 (Tier 1)	1	1
		Admin support	30 000	0	1
		Research assistants (per person)	30 000	0	3
Fellowships		Postdoctoral fellows (per person awarded pro rata)	350 000	1	Variable
Research equipment or infrastructure		Variable	Up to R400 000	Not applicable	Not applicable
Running		Variable	Up to 30% of total budget	Not applicable	Not applicable
Overheads		Variable	Up to 10% of total budget	Not applicable	Not applicable

It is important to note that Table 2 provides a budget guide that states the minimum and maximum amounts per budget category and has the flexibility for the Chair to allocate the SARChI grant based on the research activity plan. The proposed budget will be approved at the commencement of each five-year funding cycle. The incumbent will be given an opportunity, at the end of each calendar year, to make budget adjustments for the subsequent year, in consultation with the Research Chairs and Centres of Excellence (RCCE) Directorate of the NRF.

Tier 1 Chairs will not be eligible for additional NRF parliamentary core grant funding. Incumbents must apply for grants for large equipment (above R400k) through the NRF Infrastructure Funding Instrument. However, Tier 2 Chairs may apply for NRF grants as outlined in the Multiple Grants Eligibility Overview. The Chairs are therefore strongly encouraged to attract additional funding for research and human capital development from other national and international funders and donors to supplement the SARChI grant.

9. Postgraduate Student Policy

In 2021, the NRF implemented the *DSI-NRF Postgraduate Student Funding Policy* wherein postgraduate funding allocations are underpinned by the principles of equity of opportunity; representivity; prioritisation; and enhanced access, success and throughput. The *DSI-NRF Postgraduate Student Funding Policy* gives effect to the Ministerial guidelines for improving equity in the distribution of DSI-NRF Bursaries and Fellowships (2013). Citizenship, age, gender and disability are considered in the allocation of funding, with transformation of the postgraduate cohort as the core objective. Financial need is included as a criterion for determining the level of funding. To attract and retain a diverse range of students, funding levels cover the full cost of study for students who meet the required criteria.

The NRF's minimum academic requirements for postgraduate funding are as follows:

- **For first-time honours funding** - A minimum average of 65% for major subjects in the final undergraduate year of study;
- **For first-time master's funding** - A minimum average of 65% for all subjects at the honours level OR a minimum average of 65% for all subjects of a postgraduate diploma OR a minimum average of 65% for all final year subjects of a four-year degree; and
- **For first-time doctoral funding** - A minimum of 65% at the master's level.

South African citizens or permanent resident applicants who have **graduated from 2021 academic year with a classification of Pass will not be allowed to apply in the current call**, only applicants with a numerical pass mark may apply for NRF funding. However the following individuals will be allowed to apply without a numerical mark:

- South African citizens or permanent residents who graduated prior to 2021 academic year with a ‘Pass’ and ‘Pass with a distinction’. Applicants with a ‘Pass’ should enter the ‘Pass’ under the academic achievement section of the application form, and those with ‘Pass with a distinction’ should enter 75%;
- South African citizens or permanent residents with a ‘Pass with distinction’. These applicants should enter 75% mark in the application form; and
- International applicants applying for masters and doctoral scholarships. These applicants should enter a ‘Pass’ in the application form.

The eligibility criteria for funding at Full Cost of Study (FCS) and Partial Cost of Study (PCS) listed in Table 3 apply to all first-time applicants for honours, master’s and doctoral funding.

Table 3: Eligibility criteria for first time applicants for the DSI/NRF Student Funding for FCS and PCS

Study level	Full Cost of Study		Partial Cost of Study
	Exceptional Achievers	Financially Needy and Applicants with a Disability	Other
Honours	Average of $\geq 75\%$ mark for major subjects in the final year of undergraduate study	Average of $\geq 65\%$ mark for major subjects in the final year of undergraduate study	Average of $\geq 65\%$ mark for major subjects in the final year of undergraduate study
	Applicants for honours funding must be 28 years of age or younger in the year of application i.e. applicants must not be over 28 years by 31 December 2022. Only South African citizens and permanent residents are eligible for honours scholarships.		
Master’s	Minimum average of 75% for all subjects at the honours level; OR Minimum average of 75% for all subjects for a Postgraduate diploma level; OR Minimum average of 75% for final year	Minimum average of 65% for all subjects at the honours level; OR Minimum average of 65% for all subjects for a Postgraduate diploma; OR Minimum average of 65% for final year	Minimum average of 65% for all subjects at the honours level; OR Minimum average of 65% for all subjects for a Postgraduate diploma; OR Minimum average of 65% for final year

	subjects of a four-year degree	subjects of a four-year degree	subjects of a four-year degree
	Applicants for master’s funding must be 30 years of age or younger in the year of application i.e. applicants must not be over 30 years by 31 December 2022.		
Doctoral	Minimum average of 75% for Master’s degree	Minimum average of 65% for Master’s degree	Minimum average of 65% for Master’s degree
	Applicants for doctoral funding must be 32 years of age or younger in the year of application i.e. applicants must not be over 32 years by 31 December 2022.		

Only South African citizens and permanent residents who are either financially needy, living with a disability or exceptional academic achievers are eligible for FCS. Applicants that are eligible for FCS can be awarded at PCS due to budget constraints. The NRF reserves the right not to make an award or adjust a grant under any circumstances from PCS to FCS. The PCS funding will be awarded to South African citizens, permanent residents and 5% of international students.

The entry age requirement is 28, 30 and 32 years for honours, master’s and doctoral studies respectively, in the year of application, regardless of first year of registration.

For more information on the student policy, please go onto the NRF online.

10. Evaluation and Impact of Research Chairs

A baseline study of Research Chairs and their institutional and intellectual environments will be conducted with each round of new awards. These studies, together with the Strategic Research Plans and the Research Chair’s research and activity plan, will serve as the baseline to evaluate impact on the discipline and at the institutional level.

11. References

South Africa. (1996). White Paper on Science and Technology - '*Preparing for the 21st Century*'. <http://www.dst.gov.za/index.php/legal-statutory/white-papers/361-science-a-technology-white-paper> (Accessed: October 2014)

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South Africa. (2009). *Medium Term Strategic Framework (MTSF)*. <http://www.gov.za/documents/index.php?term=Medium+Term+Strategic+Framework+&dfrom=&dto=&subjs%5B%5D=0> (Accessed: October 2014)

12. NRF Contact Persons

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