

# RISA

Research and Innovation Support and Advancement

Grants Management and Systems Administration

DAAD-NRF In-Country Masters and Doctoral Scholarships

Funding Guide 2017

Opening date: 18 July 2016

Closing date: 31 August 2016

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# **List of Acronyms**

APR	Annual Progress Report
DA	Designated Authority
GMSA	Grants Management and Systems Administration
HEI	Higher Education Institution
HICD	Human and Institutional Capacity Development
RISA	Research and Innovation Support and Advancement
NRF	National Research Foundation
DAAD	Deutscher Akademischer Austausch Dienst German Academic Exchange Service

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Application guidelines are explained in this document. Please read this document together with the call or framework document of the funding instrument that highlights the funding instrument eligibility criteria and requirements.

For technical online enquiries, please contact the NRF Support Desk during office hours from 08:00 to 16:30 Monday to Friday.

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# 1. Introduction

This Funding Guide provides an overview of the DAAD-NRF In-Country Masters and Doctoral scholarship funding instrument, application funding guidelines and processes. It should be read in conjunction with the Framework document, which can be accessed at https://nrfsubmission.nrf.ac.za. It does not, however, constitute a complete set of the policies, procedures or systems used by the NRF.

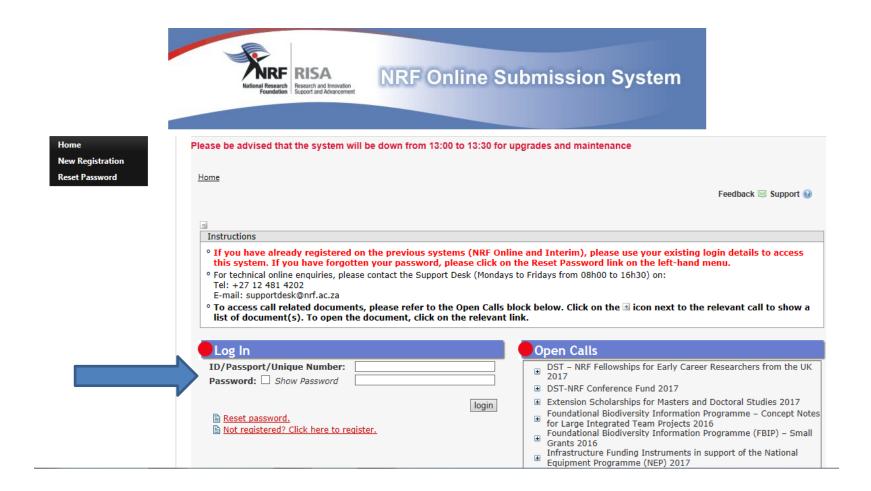
# 2. Application Process

The NRF issues a call for the DAAD-NRF In-Country Masters and Doctoral scholarship applications that is published on the NRF website and is accessible online at <a href="https://nrfsubmission.nrf.ac.za">https://nrfsubmission.nrf.ac.za</a>. The DAAD-NRF In-Country Masters and Doctoral scholarships funding instruments will not accept more than one (1) application per applicant per year. All applications must be duly authorised and approved by the Designated Authority (DA) of the research administration at the institution that submits the application. Applications must be submitted electronically to the institutional DA of the submitting institution for validation at the deadline date determined by individual institutions. Please enquire at your institution regarding their internal closing dates. The processing of a successful grant application takes approximately five (5) months from the time of submission until the commencement of funding.

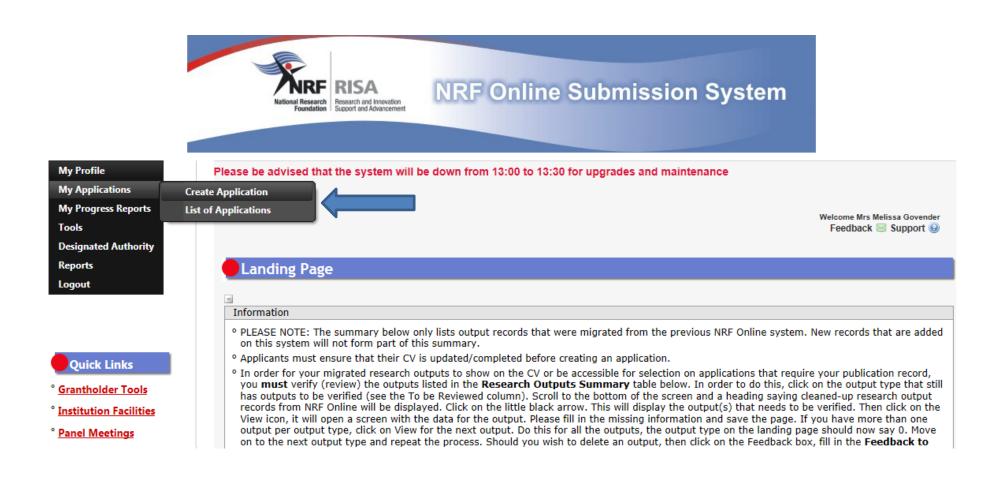
# 3. How to Submit Applications

Applications must be completed on the NRF Online Submission System at <a href="https://nrfsubmission.nrf.ac.za">https://nrfsubmission.nrf.ac.za</a> and, applicants are advised to complete their applications as soon as possible to prevent IT system overload nearer the closing date.

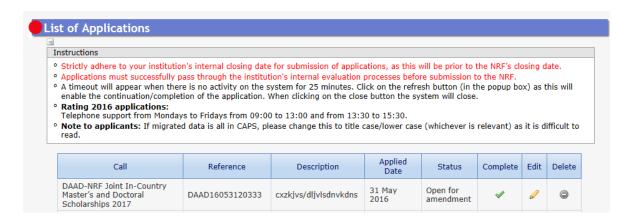
Step 1: This is an electronic submission system and applicants must be registered on the system in order to create and complete an application. If you were registered on the NRF Online System (<a href="http://nrfonline.nrf.ac.za">http://nrfonline.nrf.ac.za</a>) before February 2012, your details would have been migrated to the new NRF Online Submission System (<a href="https://nrfsubmission.nrf.ac.za">https://nrfsubmission.nrf.ac.za</a>). If you experience problems accessing the system with your NRF Online password, use the Reset Password button. If you are not yet registered on the NRF Online Submission System, you must register to access the application form.



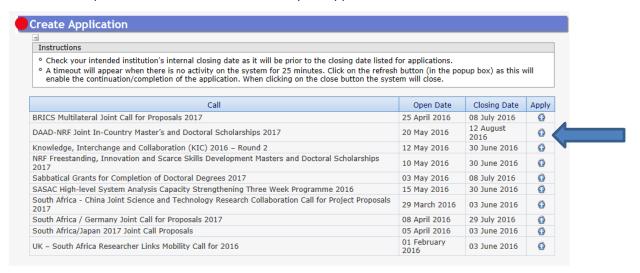
**Step 2:** Once you have logged onto the NRF Online Submission System, on the landing page, go to the left hand side black menu (tab indicated with blue arrow) to create a new application, go to My Applications - Create Application.



**Step 3:** Select the funding call for which you are applying on the Create Application screen, this will open up a new application for you to complete. Please note that this should be selected only once. To continue working on an application, go to My Applications - List of Applications.



\*Applicants are urged to complete or update ALL screens of the CV, including the Research Profile and Research Outputs (if applicable), as this information is evaluated in the review process and will impact on the overall assessment of your application.



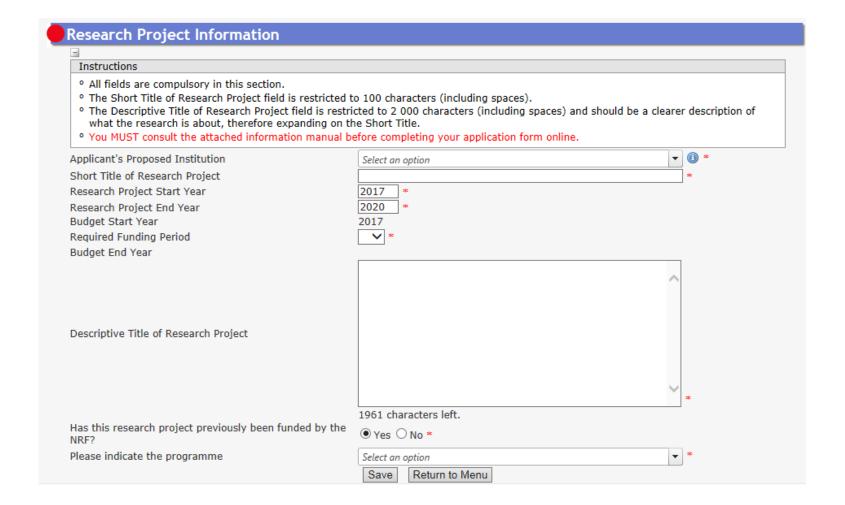
All sections marked with a red asterisks are compulsory sections in the application. These sections must be completed in order for the final submit button to appear. The sections without asterisks are non-compulsory sections. You may enter information in these sections, if you have information to enter, such as research outputs. Completed sections will be indicated by a green tick on the main menu, while incomplete sections will have a yellow cross.

Section	Complete	Date Updated	Edit
NRF Call Information Documents (Please read before starting this application)	0	31 May 2016	Ø
Registration Details *	✓	31 May 2016	0
Contact Details *	✓	10 Jun 2015	0
Qualifications *	✓	31 May 2016	0
Research Expertise *	✓	10 Jun 2015	0
Personal Profile *	✓	19 Aug 2015	0
Career Profile	✓	14 Apr 2016	0
Books	×	31 May 2016	0
Chapters in Books	<b>✓</b>	10 Jun 2015	0
Refereed/Peer-reviewed Conference Outputs	✓	10 Jun 2015	0
Articles in Refereed/Peer-reviewed Journals	✓	10 Jun 2015	0
Patents	✓	10 Jun 2015	0
Keynote/Plenary Addresses	✓	10 Jun 2015	0

All compulsory sections will guide you with error messages. Please follow these messages to help you complete the section correctly.

<u>NB</u>: Most application screens have screen and application specific instructions to help you work through the section. Please read the instructions carefully before completing the section.

**Step 4:** The Research Project Information section will require you to select, from a drop down list, your proposed institution. If your institution is not on the list, please request by selecting the information or new button next to the question.



**Step 5:** In the *Academic Achievement* section, please enter your academic average from your final year of your previous degree by adding up all your marks and dividing by the number of courses. If your institution does not provide a mark, please enter pass in the field. The review panel will compare the scores entered with your requested academic transcript.

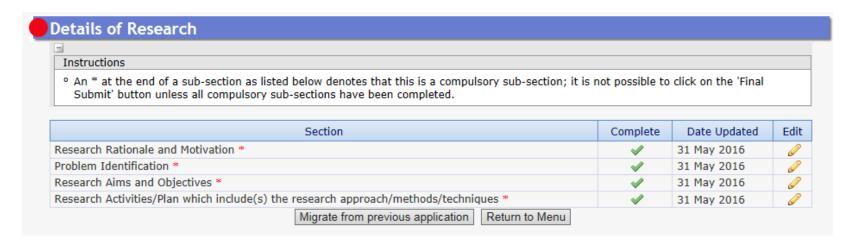
Instructions						
<ul> <li>Please calculate your accumulated grade average for all subjects in final year of previous degree as well as the average for your major subjects in the final year of your previous degree and indicate the year that your previous degree was completed.</li> <li>If you have passed your previous degree, please enter the word "pass" in the two cumulative grade point average fields below.</li> </ul>						
DAAD-NRF Joint In-Country Master's and Doctoral Sch	nolarships 2017					
<ul> <li>Applicants with a 4 year bachelor's degree applying for a Master's scholarship must have an aggregate of 60% or more in order to be eligible to apply.</li> <li>Only indicate "pass" if your degree did not have grades associated with it.</li> </ul>						
eligible to apply.						
eligible to apply.  Only indicate "pass" if your degree did not have gradumulative grade point average percentage for all						
eligible to apply.						

Please note: Master's applicants with a 4-year bachelor's degree are only eligible to apply if their cumulative grade point average is 60% or more. Applicants that do not meet this eligibility criterion will be screened out and these applications will not go through to review.

**Step 6:** The *Details of Research* section is one of the most important sections in the application. Please provide an overview of your proposed research study in these sections. The section has specific instructions related to each screen. Follow the instructions to complete the section. The section will only mark as complete once all the subsections have been completed.

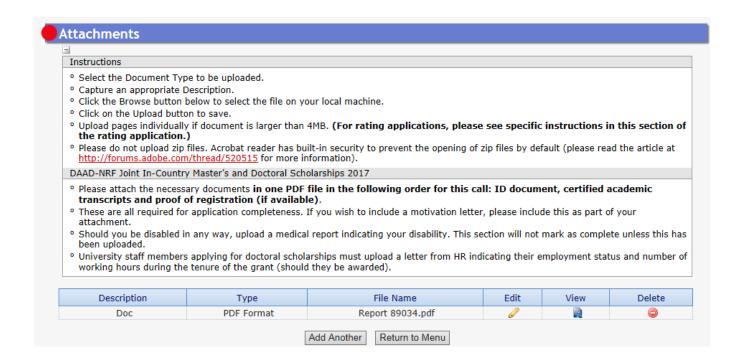
It is important that you enter detailed information into this section as the input is taken into consideration during the assessment of your application.

Appropriate literature references must also be included. If character limitation is a problem, the list of references can be added as an attachment.



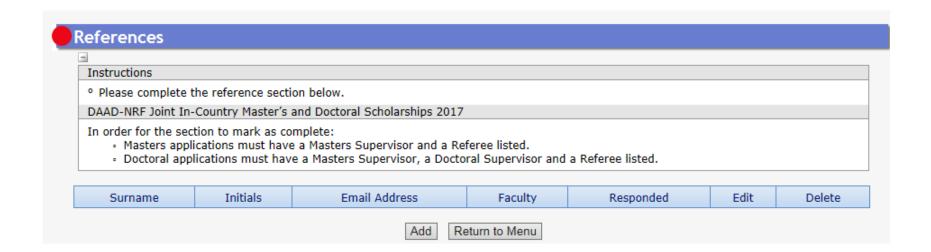
<sup>\*</sup>If you have applied for a DAAD scholarship before, you can click the "migrate from previous application" button to move your information from the old application into the new one. You will still be able to edit the information in the new application.

**Step 7**: The attachment section provides specific instructions for uploading attachments to the application. Please print, certify and then scan in all documents together to be submitted as one attachment, save as a single PDF file and then upload the section as one document. If you are a student with disabilities, you may also upload a medical certificate in support of your disability.



NB: Applications that do not have the required attachments (ID document, certified academic transcripts, qualifications (certificates) and for university staff members, a letter from the HR department indicating their employment status and number of working hours during the tenure of the award) will be deemed incomplete. All incomplete applications will not proceed to review.

Step 8: The reference section allows you to include referees for your application. Please make sure your referees are academic referees and can comment on your academic abilities. On final submission of the application the reference emails are sent to referees to provide a report on your academic abilities. It is the applicant's responsibility to ensure that the referee email is correct and that the referees have responded as this category is assessed in the application. The applicant can view the application PDF to check whether a referee has responded to the request for reference.



- \*Please note the following:
- For Masters applications, one Masters Supervisor and one Referee **must** be selected
- For Doctoral applications, one Doctoral Supervisor, one Masters Supervisor and one Referee **must** be selected.

If the above requirements are not fulfilled, the section will not mark as complete.

Step 9: Applicants must ensure that they adhere to their institution's internal closing date for submission of their application to allow for internal institutional screening and review. The internal closing date will be determined by the respective research offices or Post Graduate Office and is usually at least two weeks prior to the NRF's closing date. Late applications, additional supporting documentation or information received after the closing date will not be accepted or considered.

It is important for all proposals to be screened and approved through internal institutional processes **before** being submitted to the NRF. The NRF assumes that the respective DAs are satisfied with the standard of all proposals validated and submitted, and that the institution approves and supports the proposed research.

**Step 10:** The final submit button will appear only if all compulsory sections are complete. If all the compulsory sections are complete and the final submit button does not appear, please select any section, and resave to refresh the application. You will then see the final submit button. Once you have selected final submit button, the application will be routed to your hosting institution for validation and further consideration by the NRF.

The NRF will not process applications that are incomplete, contain insufficient or incorrect detail, or fail to comply with instructions. Such applications will be rejected. The application must be completed in sufficient detail to allow for a comprehensive review and evaluation by internal and external reviewers. In addition to the electronic application and required attachments, the NRF may request additional information or documentation to support an application if required. Failure to supply such information or documentation upon request may result in the rejection of the application.

# 4. Screening and Review Processes

# 4.1 Overview of the Screening Process

All applications validated by institutions and submitted to the NRF are screened by the NRF for compliance with the eligibility criteria of the Call for applications as set out in this Manual, as well as the requirements for completing the NRF Online application. Applications that fail to meet the stipulated requirements will be rejected and not considered for funding.

## 4.2 Overview of the Review Process

The NRF's peer review policy requires that all applications be subjected to a peer review process. Applications submitted to this funding instrument will go through a peer review process.

Reviewers are selected from the NRF database that is updated on a continuous basis, and other sources. In compiling the review panel, the expertise and experience of individuals in the field of the submissions are taken into account. In assessing the application, agreed assessment criteria are applied in the form of a scorecard.

The Review Panel provides recommendations to the NRF and the final funding decision is made by the NRF. In awarding grants in this funding instrument, the NRF takes into account the recommendations of the peer review panels, the objectives and targets of the funding instrument, and the available funds.

# 5. Ranking of Applications

The purpose of the scoring system is to review applications consistently and fairly, based on funding instrument criteria, in order to determine applications that are most deserving of the limited funds available. All research scholarship applications submitted to the NRF for funding are evaluated according to a number of predetermined criteria. Applications are assessed and ranked on the basis of criteria as listed in the tables below. Each area may be given a weight to indicate its relative importance. Kindly consult the relevant tables below for details on the criteria used.

# NRF Scorecards for the Assessment of DAAD-NRF In-Country Master's and Doctoral Scholarship Applications

	Scorecard for the selection of Masters Candidates for 2016 Funding							
		(Hurdles: 1.Promot	ter support; 2. Required so	upporting documents)				
Review Criteria/		Five Point Rating Scale	, Weight and Descriptor					
Weight	Description	5 = Excellent	4 = Very good	3= Good	2 = Fair	1 = Poor		
1. Academic	Average percentage							
merit (10 %)	for Hons or Final year							
	B.Tech	80 -100%	70-79%	60-69%	55-59%	Below 55%		
2. Applicant's		At least one						
Track Record	Awards, bursaries and	award/bursary, and						
(15 %)	Past Research	one poster		At least one				
	Outputs (e.g. Journal	presentation and	At least one	award/bursary,	At least one			
	articles, conference	one oral	award/bursary, and	and one poster	award/bursary or	No awards /		
	presentations	presentation and	one poster	presentation <b>or</b>	one poster	bursaries; or		
	/proceedings, Book	other research	presentation <b>and</b> one	one oral	presentation <b>or</b> one	poster		
	Chapters, Patents)	outputs	oral presentation	presentation	oral presentation	presentations		
3. Scientific Merit				Literature review				
of the Proposal				Aims, objectives,				
(35%)				methodology have				
				minor gaps may be				
		Literature review		revised and				
		Aims, objectives, and	Literature review Aims,	approved by the	Research proposal is			
	Literature review	methodology are	objectives,	NRF without	poorly developed	Insufficient		
	Aims, objectives,	fully aligned and	methodology are fully	further merit	and requires major	information		
	methodology	comprehensive	aligned and motivated	review.	revision	provided		
4. Feasibility		A thoroughly	The project work plan is	The project work	The project			
(30%)		formulated project	well formulated and	plan requires minor	workplan towards			
		workplan with	achievable with some	revision that may	study completion is			
	Marie de la constant	explicit and	minor issues to be	be revised and	poorly formulated	No. of de-		
	Work plan, project	achievable project	considered for	approved by the	with unspecific	No workplan		
	organisation, project	activities with	improvement.	NRF without	timelines and	towards study		
	scheduling and	realistic project	Reviewer to specify	further merit	requires major	completion is		
	timelines.	timelines.	revisions required	review. <b>Reviewer</b>	revision. <b>Reviewer</b>	provided		

				to specify revisions required	to specify revisions required	
5. Alignment with National Research Priorities impact (10%)	Alignment with one or more national research strategies and the potential for socio and/or economic impact	The candidate has explicitly described alignment with more than one national research priority and the potential for social or economic impact.	The candidate has described alignment with one national priority and the potential for socio or economic impact.	The candidate has described alignment with one national research priority but has not explained potential social or economic impact of the research	The candidate has vaguely mentioned a national research priority but has not explained the relevance of the research	No information is provided in the application

	Scorecard for the selection of Doctoral Candidates for 2016 Funding (Hurdles: 1.Promoter support; 2. Required supporting documents)								
Reviev	Review Criteria/		Five Point Rating Scale, Weight and Descriptor						
Weigh	•	Description	5 = Excellent	4 = Above average	3= Average	2 = Below average	1= Poor		
		Cumulative percentage							
	ademic	from the previous							
me	erit (15%)	degree	Above 80%	75-80%	65-74%	60-64%	Below 60%		
		Awards, bursaries and							
		Past Research Outputs	At least 2 awards	At least one award	At least one				
2. Ap	plicant's	(e.g. Journal articles,	/bursaries, 1 international	/bursary and 1 national	award/bursary or 1				
Tra	ack Record	conference	peer reviewed	peer reviewed article or	International poster	No awards/			
(59	%)	presentations	publication, 1	1 national oral	presentation or 2	bursaries; 1			
•	Ž	/proceedings, Book	International oral	presentation or 1 book	national poster	national poster	No		
		Chapters, Patents)	presentation.	chapter.	presentations.	presentation.	information		

			The proposal is well			
3. Scientific Merit of the			constructed;	The proposal is fairly constructed.	The proposal structure is	
proposal			The project idea will		reasonable but	
(45%)		The proposal is exceptionally strong and well-constructed.	generate new knowledge with the application of existing knowledge and	The study involves unique application of existing knowledge and	the study will mainly utilise the application of existing	The proposal structure is
		A novel project idea that will contribute to the generation of both new	methodologies in the field.	methodologies in the field.	knowledge and methodologies in the field.	poorly formulated
		methodologies and new knowledge in the field.	The research question/problem statement is clear, but	The research question/problem statement and the	The research question/ problem	The problem statement and the rationale
		The research question/ problem statement is clear and the rationale of	the rationale of the study could be refined.	rationale could be refined.	statement and the rationale are not clear.	are not included in the proposal.
		the study is well advocated.	The study is reasonably conceptualized;	Conceptualization could be strengthened;	Conceptualization is weak;	Conceptualizat ion is weak;
		The study is well conceptualized;	the literature is relevant, cited,	The literature is	The literature is	
		Literature is thoroughly	referenced and addresses the existing	relevant, cited, referenced but it is	not relevant and is out dated. It is	The literature is
		reviewed, relevant, cited,	gap in extant literature,	unclear which gaps	unclear which	not
	Novelty and Scientific	referenced and addresses	but some important	in the extant	gaps in the extant	relevant
	contribution to new knowledge;	the existing gaps in literature.	references are not included.	literature are being addressed.	literature are being addressed.	and is out dated.

			The recearch			
Colombific			The research			
Scientific 			objectives are sound			
merit			but have some			The research
(continued)			inconsistencies and			objectives are
			can be refined to		The research	not aligned
			appropriately meet	The research	objectives are not	with the aims
		The objectives are clearly	the aims of the study.	objectives are	aligned with the	of the study.
		stated and are		appropriate but only	aims of the study.	
		appropriate to meet the	The research	partially address the		The
		aims of the study.	methodology is	aims of the study.	The methodology	methodology
			sound but has		is vaguely	lacks detail to
		The methodology is	inconsistencies and	The methodology	articulated to	assess the
		aligned with the	can be refined;	fairly addresses the	assess the	feasibility of
		objectives of study.	•	study objectives.	feasibility of the	the study.
		,	The project is	,,	study.	
		The project is	multidisciplinary and	The project is	5144,	The project
	multidisciplinary aspects;	multidisciplinary and the	the different aspects	multidisciplinary	The project barely	does not
	alignment of the research	different aspects thereof	have been	and the different	addresses multi-	address multi-
	•	•				
	question with the	have been fully	reasonably	aspects have been	disciplinary	disciplinary
	methodology.	addressed.	addressed.	partially addressed.	aspects.	aspects.

4. Feasibility (30%)			The project work plan is reasonable but is not outstanding;			
		A thoroughly formulated project workplan;	Feasible project activities with realistic project timelines.	The project work plan can at best be described as average; some of the project	The project workplan towards study completion is poorly	No workplan
		Explicit and feasible project activities with realistic project	The role of the candidate in the project is clearly defined.	timelines are problematic.  The role of the	formulated with unspecific timelines.	towards study completion is submitted.
		timelines.  The role of the candidate	The infrastructure at the institution/in the	candidate in the project is defined.	The role of the candidate in the project is vaguely	The role of the candidate in the project is
		in the project is clearly defined.	research group is could be	The infrastructure at the institution could	defined.  The infrastructure	not defined Timelines and
		The infrastructure at the institution/in the research group is	strengthened to ensure successful project completion, but the proposal	be strengthened to ensure successful project completion but the proposal	to support the project is lacking but the proposal	project activities are not
	Work plan, project organisation, project scheduling and timelines.	adequate to ensure successful project completion.	indicates how the gaps will be addressed.	does not indicate how the gaps will be addressed	does not indicate how the gaps will be addressed.	documented.

			The candidate has	The candidate has		
5. Potential			defined the	defined the		
Impact			significance and the	significance and the		
(5%)		The candidate has clearly	merits of the	merits of the		
		defined the significance and the merits of the	research.	research.		
		research.	The envisaged impact	The envisaged		
			is feasible and	impact is feasible		
		The envisaged impact is	relevant in the	and relevant in the		
		feasible and relevant	national context.	national context.		
		both in the national and				The candidate
		international context.	Therefore, the	However, the		has not
			potential impact of	potential impact of	The candidate has	defined the
	Potential to contribute	Therefore, the potential	the study is high	the study is	vaguely defined	significance
	national research strategies	impact of the study is	based on the	moderate based on	the significance	and the merit
	and the strategic goals of	high based on the	information	the information	and the merits of	of the
	the knowledge economy.	information provided.	provided.	provided.	the research.	research.

# 6. Applications Feedback and Disputes

Once the review and assessment processes have been completed and the recommended funding decision has been approved by the NRF, a list of successful applications will be published on the NRF website, <a href="www.nrf.ac.za">www.nrf.ac.za</a>. Thereafter, successful applicants will receive a letter of award. If your name does not appear on the published list of successful applications it means that your application was unsuccessful.

Should an unsuccessful applicant require feedback, they should request feedback via their institution's research office. The NRF does not provide feedback to unsuccessful applicants due to the high volume of applicants within this funding instrument.

Unsuccessful applicants that wish to appeal the funding decision taken by the NRF must follow the appropriate Appeals Process of the NRF. Appeals will only be considered for this funding instrument within a one-month period after the official date of publishing of the results on the NRF website.

# 7. Awardee Responsibilities

# **7.1** Reporting

Continued funding beyond the first year is dependent on the submission of an Annual Progress Report (APR) to the NRF during a call for APR's in October / November of each grant year. Continued funding will be considered based on satisfactory progress and supervisor recommendations

An APR must be submitted by the awardee / grant-holder in a format provided by the NRF, documenting progress made against set objectives and research outputs. The NRF may in consultation with the Research Office or Post Graduate Funding Office, request interim progress reports for the purpose of implementing corrective measures timeously to ensure that stated objectives are met within stipulated timeframes.

# 7.2 Managing changes during the project life cycle

Changes may occur during the project life cycle due to unforeseen and extenuating circumstances. Please note the following on how to manage the award and subsequent changes (planned or unanticipated) should they arise during the project life cycle:

# 7.2.1 Change Requests

#### **7.2.1.1** Prior Approval Requests

Applicants must submit all change requests in writing to the NRF for approval before effecting any changes. The request must have institutional DA endorsement and be submitted to the NRF *via* the Research Office / Post Graduate Funding Office for approval prior to the change.

# 7.2.1.2 Changes in Project Scope, Supervisor or Institution

Changes may occur where a project scope, supervisor or institution needs to be changed from the original research proposal, supervisor or institution respectively. The request must have institutional DA endorsement and be submitted to the NRF *via* the Research Office. Such requests must be forwarded to the NRF 30 days before the change is intended to take place.

# 8. Scientific Compliance

# 8.1 Methodology

The student takes scientific responsibility for the research to be undertaken, including its objectives and the methodology outlined in the project proposal. The student is required to devote the necessary time to the research project in compliance with the work plan for the research proposal approved by the NRF so as to achieve the project's stated aims and objectives.

# 8.2 Intellectual Property Rights

The intellectual capital generated by the NRF funded research must be appropriately protected and exploited for the benefit of South Africa. This condition should not interfere with the Intellectual Property Rights (IPR) arrangements already made, on condition that the majority of the benefits arising from the intellectual capital accrue to South Africa and its citizens. This condition is aligned with the *Intellectual Property Rights Act*, 1 which will override this condition of grant.

# 8.3 Ethics

The student is required to maintain the highest ethical and safety standards in conducting the research, particularly when human and animal subjects are involved. It remains the responsibility of the project leader to comply with all relevant regulations in this regard, including those of the institution at which the research is carried out. An ethical clearance certificate (where applicable) must be submitted to the NRF in respect of successful applications before funding can be released.

# List of References 1 RSA (2008). Intellectual Property Rights from Publicly Financed Research and Development Act 51 of 2008. Government Gazette, 22 Dec 2008. Vol 522, No 31745