DST-NRF Collaborative Postgraduate Training Application Guide 2017

Opening date: 16 March 2017

Closing date: 12 May 2017

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List of Acronyms

APR   Annual Progress Report

DA   Designated Authority

GMSA   Grants Management and Systems Administration

HICD   Human and Infrastructure Capacity Development

RISA   Research and Innovation Support and Advancement

NRF   National Research Foundation

CPT   Collaborative Postgraduate Training

UID   Unique Identification

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The Grants Management and Systems Administration (GMSA) Directorate of the National Research Foundation (NRF) processes all grant applications. Application guidelines are explained in this document. Please read this document together with the call or framework document of the programme that highlights the programme eligibility criteria and requirements.

For technical online enquiries, please contact the NRF Support Desk during office hours (08:00 –16:30). Tel: (012) 481-4202; E‑mail: Supportdesk@nrf.ac.za

1. Introduction

This Manual provides an overview of the DST-NRF Collaborative Postgraduate Training (CPT), application funding guidelines and processes. It should be read in conjunction with the programme call or 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 CPT applications which is published on the NRF website and is accessible online at https://nrfsubmission.nrf.ac.za.

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 Designated Authority (DA) of the submitting institution for validation at the deadline date determined per institution. Please query with your institution around their 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 can be completed on the NRF Online Submission System at https://nrfsubmission.nrf.ac.za from **Thursday, 16 March 2017**. Applicants are advised to complete their applications as soon as possible to prevent IT system overload near the closing date.

Note: SARChI and CoE grant holders are not eligible to apply to this call.

Step 1: This is an electronic submission system and applicants need to be registered on the system in order to create and complete an application. If you previously registered on the NRF Online System (http://nrfonline.nrf.ac.za) before February 2012, your details would have been migrated to the new NRF Online Submission System (https://nrfsubmission.nrf.ac.za). 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 should register to access the application form.

Step 2: Once you have logged in to 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 programme for which you are applying on the Create Application screen, this will open up a new application for you to complete. Please note this should only be selected once and you'll be provided with a reference number. To continue working on an application, go to My Applications-List of Applications and click on the relevant reference number.
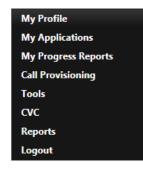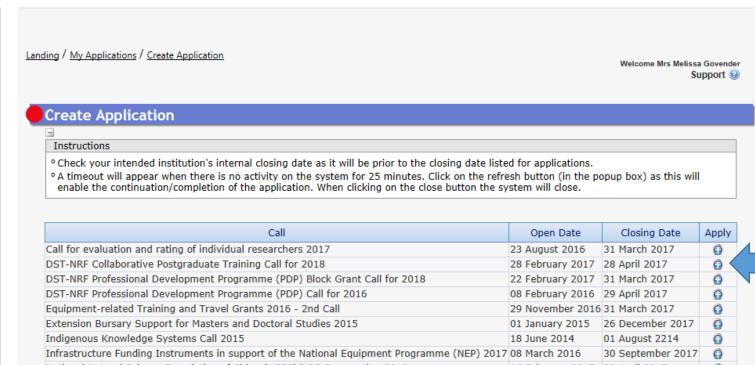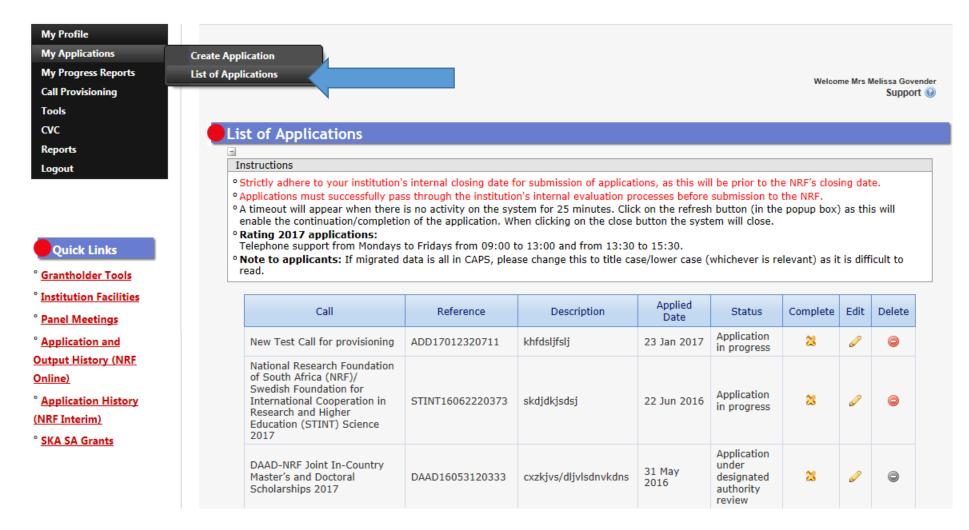

NRF | RISA
National Research Foundation | Research and Innovation Support and Advancement

NRF Online Submission System

My Profile
My Applications
My Progress Reports
Call Provisioning
Tools
CVC
Reports
Logout

Landing / My Applications / Create Application

Welcome Mrs Melissa Govender
Support

Create Application

Instructions

° Check your intended institution's internal closing date as it will be prior to the closing date listed for applications.
° A timeout will appear when there is no activity on the system for 25 minutes. Click on the refresh button (in the popup box) as this will enable the continuation/completion of the application. When clicking on the close button the system will close.

Quick Links

° **Grantholder Tools**

° **Institution Facilities**

° **Panel Meetings**

° **Application and Output History (NRF Online)**

Call	Open Date	Closing Date	Apply
Call for evaluation and rating of individual researchers 2017	23 August 2016	31 March 2017	
DST-NRF Collaborative Postgraduate Training Call for 2018	28 February 2017	28 April 2017	
DST-NRF Professional Development Programme (PDP) Block Grant Call for 2018	22 February 2017	31 March 2017	
DST-NRF Professional Development Programme (PDP) Call for 2016	08 February 2016	29 April 2017	
Equipment-related Training and Travel Grants 2016 - 2nd Call	29 November 2016	31 March 2017	
Extension Bursary Support for Masters and Doctoral Studies 2015	01 January 2015	26 December 2017	
Indigenous Knowledge Systems Call 2015	18 June 2014	01 August 2214	
Infrastructure Funding Instruments in support of the National Equipment Programme (NEP) 2017	08 March 2016	30 September 2017	

My Profile
My Applications
My Progress Reports
Call Provisioning
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Create Application
List of Applications

Welcome Mrs Melissa Govender
Support

List of Applications

Instructions

° Strictly adhere to your institution's internal closing date for submission of applications, as this will be prior to the NRF's closing date.
° Applications must successfully pass through the institution's internal evaluation processes before submission to the NRF.
° A timeout will appear when there is no activity on the system for 25 minutes. Click on the refresh button (in the popup box) as this will enable the continuation/completion of the application. When clicking on the close button the system will close.
° **Rating 2017 applications:**
  Telephone support from Mondays to Fridays from 09:00 to 13:00 and from 13:30 to 15:30.
° **Note to applicants:** If migrated data is all in CAPS, please change this to title case/lower case (whichever is relevant) as it is difficult to read.

Quick Links

° **Grantholder Tools**

° **Institution Facilities**

° **Panel Meetings**

° **Application and Output History (NRF Online)**

° **Application History (NRF Interim)**

° **SKA SA Grants**

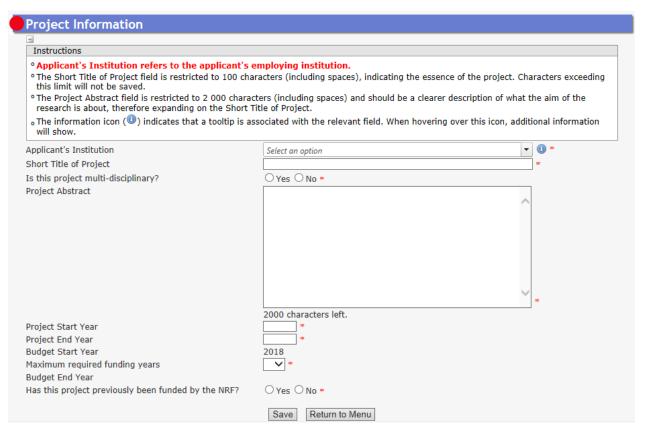| Call	Reference	Description	Applied Date	Status	Complete	Edit	Delete
New Test Call for provisioning	ADD17012320711	khfdsljfslj	23 Jan 2017	Application in progress	✖	✎	⊖
National Research Foundation of South Africa (NRF)/ Swedish Foundation for International Cooperation in Research and Higher Education (STINT) Science 2017	STINT16062220373	skdjdkjsdsj	22 Jun 2016	Application in progress	✖	✎	⊖
DAAD-NRF Joint In-Country Master's and Doctoral Scholarships 2017	DAAD16053120333	cxzkjvs/dljvlsdnvkdns	31 May 2016	Application under designated authority review	✖	✎	⊖

Step 4: 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 referred to in the review process.

Step 5: All sections marked with a red asterisks are compulsory sections in the application. These sections need to be completed in order for the <u>final submit button to appear</u>. 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 have a yellow cross.

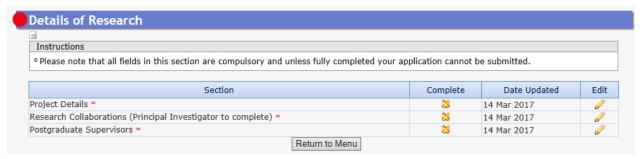| Section	Complete	Date Updated	Edit
NRF Call Information Documents (Please read before starting this application)	ℹ	18 Mar 2016	✏
Registration Details *	✔	13 Feb 2017	✏
Contact Details *	✔	13 Feb 2017	✏
Qualifications *	✖	18 Jul 2016	✏
Career Profile *	✔	22 Jun 2016	✏
Student Supervision Record *	✔	10 Jun 2015	✏
Research Expertise *	✔	10 Jun 2015	✏
Books	✖	18 Mar 2016	✏
Chapters in Books	✔	10 Jun 2015	✏
Articles in Refereed/Peer-reviewed Journals	✔	10 Jun 2015	✏
Refereed/Peer-reviewed Conference Outputs	✔	10 Jun 2015	✏
Patents	✔	10 Jun 2015	✏
Keynote/Plenary Addresses	✔	10 Jun 2015	✏
Articles in Non-refereed/Non-peer Reviewed Journals	✔	10 Jun 2015	✏
Other Significant Conference Outputs	✔	19 Aug 2015	✏
Technical/Policy Reports	✔	10 Jun 2015	✏
Products	✔	10 Jun 2015	✏
Artefacts	✔	10 Jun 2015	✏
Prototypes	✔	10 Jun 2015	✏
Other Recognised Research Outputs	✔	10 Jun 2015	✏
Project Information *	✔	18 Mar 2016	✏
Details of Research *	✖	30 Mar 2016	✏
Preferred Panel *	✔	18 Mar 2016	✏
Attachments *	✔	30 Mar 2016	✏
Possible Reviewers *	✔	18 Mar 2016	✏
Excluded Reviewers	✖	18 Mar 2016	✏
Financials: Operating Costs *	✔	29 Mar 2016	✏
Declaration *	✖	18 Mar 2016	✏
Print Preview	ℹ	18 Mar 2016	🖫

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

Step 6: 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 7: *Project Information* section will require you to select your proposed institution from a drop down list. You will also have to provide summarised information on the project including the required funding period. *The normal funding period is 3 years. Only choose 5 years if you will be hosting part-time doctoral students.

Step 8: The *Details of Research* section is one of the most important sections in the application. Please provide an overview of your research projects in these sections. The section has specific instructions related to each screen. Please follow the instructions to complete the section. It is important that you enter detailed information into this section as the input is taken into consideration during the assessment process.
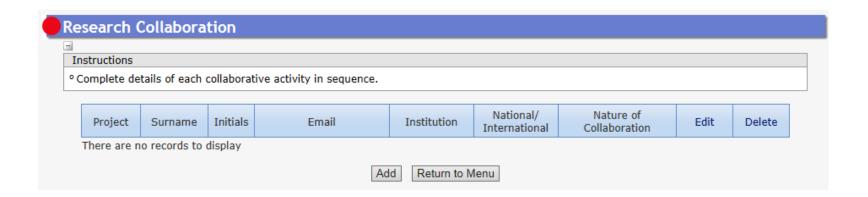
*Please note: If, for example, three (3) projects are entered under the *Project Details* sub-section, then all three projects need to have *Research Collaborations* and *Postgraduate Supervisors* linked to them in order for all sub-sections to mark as complete.
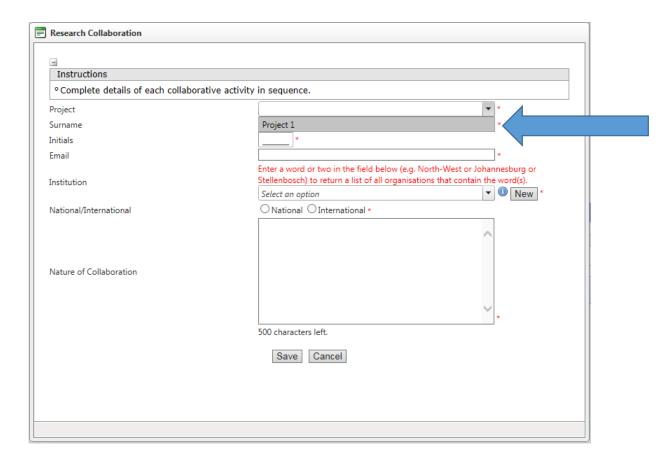

Project Details sub-section:

Step 9: The *Research Collaboration sub*-section requests the applicant to enter any participating members/collaborators involved in each of the research projects that have been listed under the *Project Details* sub-section.
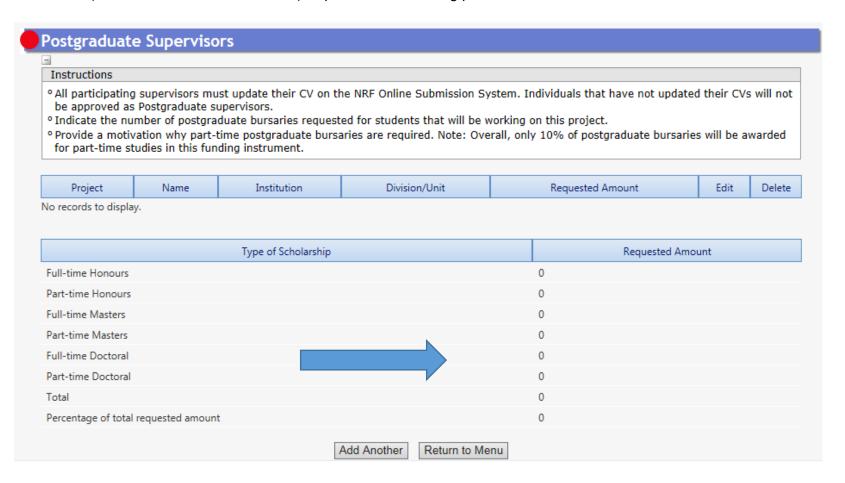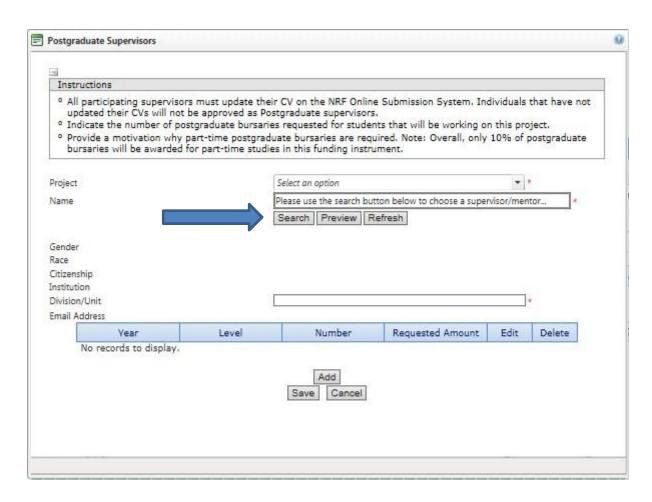
Choose the relevant project from the dropdown list and complete the remaining sections.

*Note: Please include at least two Historically Disadvantaged Higher Education Institutions, one of which may be the lead institution in the application. For a list of these historically disadvantaged HEIs, please refer to the Call Document.

Step 10: The sub-section *Postgraduate Supervisors* is very important and requires the applicant to indicate the supervisors as well as the number of students (Honours, Masters and Doctoral) required for the funding period.

Postgraduate Supervisors

Instructions

° All participating supervisors must update their CV on the NRF Online Submission System. Individuals that have not updated their CVs will not be approved as Postgraduate supervisors.
° Indicate the number of postgraduate bursaries requested for students that will be working on this project.
° Provide a motivation why part-time postgraduate bursaries are required. Note: Overall, only 10% of postgraduate bursaries will be awarded for part-time studies in this funding instrument.

Project	Name	Institution	Division/Unit	Requested Amount	Edit	Delete

No records to display.

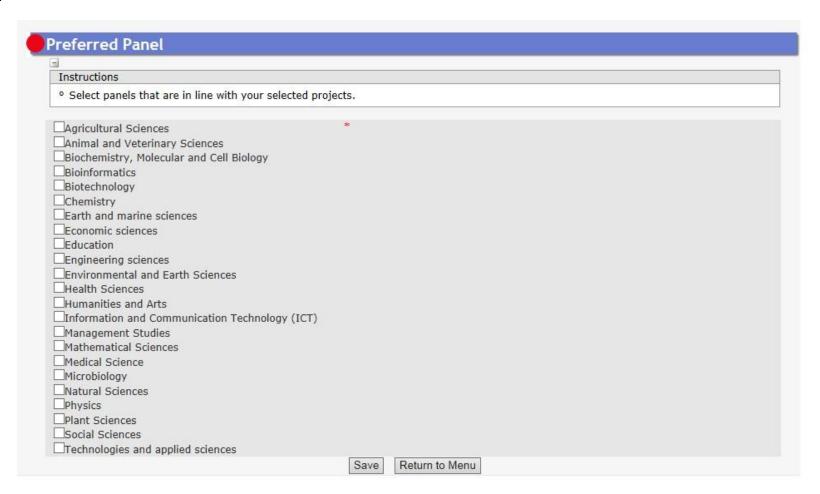| Type of Scholarship	Requested Amount
Full-time Honours	0
Part-time Honours	0
Full-time Masters	0
Part-time Masters	0
Full-time Doctoral	0
Part-time Doctoral	0
Total	0
Percentage of total requested amount	0

Add Another   Return to Menu

You will have to search for the postgraduate supervisor. If the person is not registered on the NRF Online System, you will not be able to find them. Therefore please ensure that the relevant supervisors are registered prior to completing the application.

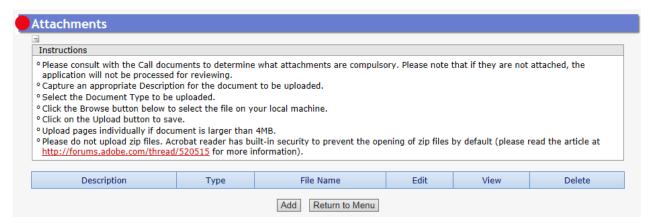*The supervisor's online CV is generated as an attachment to the application.

Once you have selected the supervisor, you will then be able to add the number and level of students required per year. This will then pull through as a summary on the *Postgraduate Supervisors* sub-section.

Step 11: The *Preferred Panel* section is where you select the relevant panels under which the projects listed in your application should be reviewed.
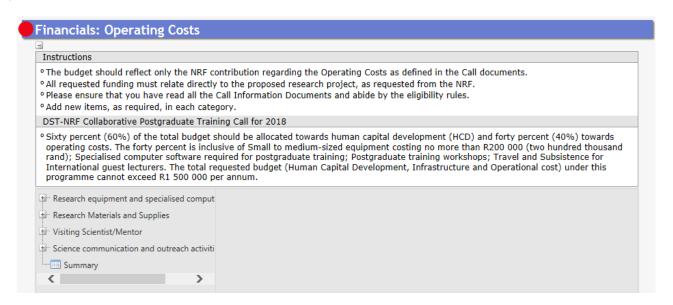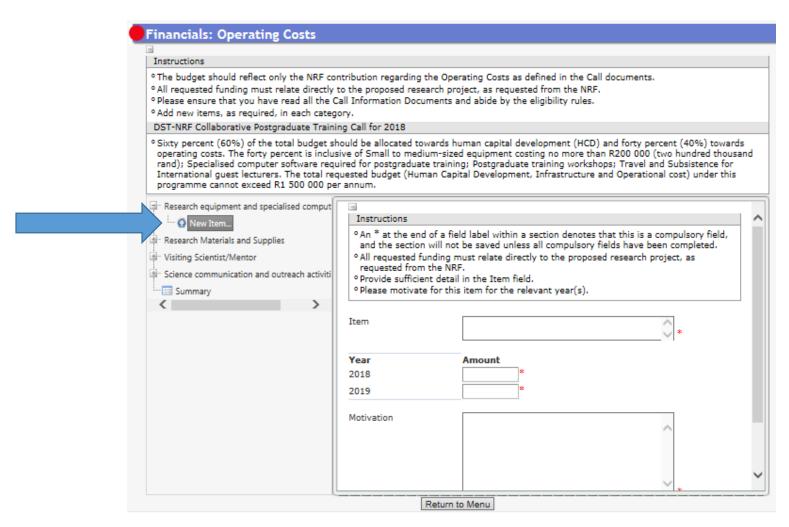

The Scorecard used in the review process can be found in Section 5 (Page 22) of this document.

Step 12: The *Attachments* section will automatically pull through the CVs of the postgraduate supervisors you have listed.

Step 13: The Financials: Operating Costs section is an important section where you will list the operating costs under the specific sub-sections that you will need. Sub-sections include Research Equipment and Specialised Computer Software, Research Materials and Supplies, Visiting Scientist/Mentor and lastly, Science Communication and Outreach Activities.
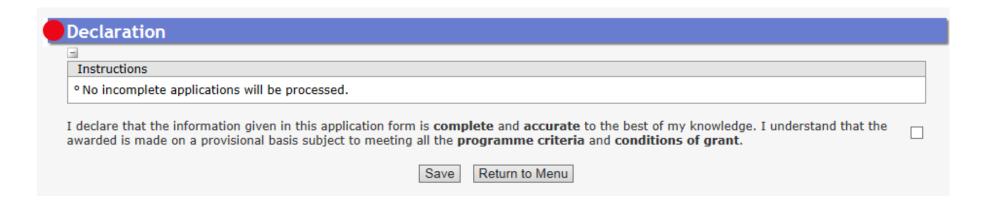
Financials: Operating Costs

Instructions

° The budget should reflect only the NRF contribution regarding the Operating Costs as defined in the Call documents.
° All requested funding must relate directly to the proposed research project, as requested from the NRF.
° Please ensure that you have read all the Call Information Documents and abide by the eligibility rules.
° Add new items, as required, in each category.

DST-NRF Collaborative Postgraduate Training Call for 2018

° Sixty percent (60%) of the total budget should be allocated towards human capital development (HCD) and forty percent (40%) towards operating costs. The forty percent is inclusive of Small to medium-sized equipment costing no more than R200 000 (two hundred thousand rand); Specialised computer software required for postgraduate training; Postgraduate training workshops; Travel and Subsistence for International guest lecturers. The total requested budget (Human Capital Development, Infrastructure and Operational cost) under this programme cannot exceed R1 500 000 per annum.

- Research equipment and specialised comput
    - New Item...
- Research Materials and Supplies
- Visiting Scientist/Mentor
- Science communication and outreach activiti
- Summary

Instructions

° An * at the end of a field label within a section denotes that this is a compulsory field, and the section will not be saved unless all compulsory fields have been completed.
° All requested funding must relate directly to the proposed research project, as requested from the NRF.
° Provide sufficient detail in the Item field.
° Please motivate for this item for the relevant year(s).

Item _____ *

Year	Amount
2018	____ *
2019	____ *

Motivation _____ *

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You will be able to add items under each of the sub-sections. Once complete, you will be able to view a summary of the operating costs.

Please keep in mind that 60% of the total budget should be allocated to student support and 40% of the total requested number of students towards operating costs. The capped total budget per annum is R1 500 000.

Step 14: Applicants need to complete the *Declaration* section by ticking the box indicated below:

Step 15: 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 and is usually at least two (2) weeks prior to the NRF's closing date.

It is important that all proposals are 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 16: The final submit button will appear only if all compulsory sections are complete. Please remember to submit your application for consideration. 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. When an application has been submitted by the applicant, it is automatically routed to the Designated Authority (DA) in the Research Office of the institution that you have selected, for internal review and validation. Late applications, additional supporting documentation or information received after the closing date will not be accepted or considered.

The NRF will not process applications that are incomplete, contain insufficient or incorrect details, 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 as stipulated in the Call for applications, as well as the requirements for completing the online application. Applications that fail to meet the stipulated requirements will be rejected.

4.2 Overview of the Review Process

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

Panel members are selected from the NRF database and other sources, which is updated on a continuous basis. In making the selection of the panel, the expertise and experience of individuals in application adjudication are taken into account. In assessing the application, agreed assessment criteria are applied in the form of a scorecard

The Panel provides recommendations to the NRF although the final funding decision is made by the NRF. The NRF takes into account the recommendations of the peer review panels, the objectives and targets of the programme, and the available funds when awarding grants under this programme.

5. Ranking of Applications

The purpose of the scoring system is to evaluate applications, based on programme criteria, in order to determine applicants that are most deserving of the limited funds available. All research proposals 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 table below. Each area may be given a weight to indicate its relative importance. Kindly consult the table below for details on the criteria used.

Table 1: Scorecard for the evaluation of applications for Collaborative Postgraduate Training

Criteria	Sub-Criteria	Weight (Total = 100%)
1. Track Record of Applicant	Past research outputs (Journal articles, conference presentations and proceedings, book chapters, patents and awards), the candidate's research experience, postgraduate supervision experience, and experience to host a cohort of postgraduate students.	15%
2. Human Capital Development	Student involvement/training outlined, Expected outputs and outcomes in advancing HCD, alignment with national research priority/scarce skill area and/or vulnerable discipline.	40%
3. Potential Research Outputs	Details of envisaged realistic outputs of the research such as publications, conference proceedings, toolkits, policy documents.	20%
4. Collaboration on Research Project	Collaboration between institutions include historically disadvantaged higher education institutions. Existing research collaborations with national and international research institutions and universities demonstrated.	20%
5. Running Cost and Requested Budget	Access to research grant or funding to support the research to be undertaken by the Postgraduate students and feasibility of the requested budget. Must indicate the value of available or previous funds and source of funding. Sixty percent (60%) of the total budget should be allocated towards human capital development (HCD) and forty percent (40%) towards operating costs. The forty percent is inclusive of Small to medium-sized equipment costing no more than R200 000 (two hundred thousand rand); Specialised computer software required for postgraduate training; Postgraduate training workshops; Travel and Subsistence for International guest lecturers. The total requested budget (Human Capital Development, Infrastructure and Operational cost) under this programme cannot exceed R1 500 000 per annum.	5%
Total		**100%**

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, the NRF will send award letters to institutions and successful applicants. Should an unsuccessful applicant require feedback they are requested to follow the process and query *via* their institutional office.

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

Grant holders need to nominate the candidate/s under the provided UID and upload correct and relevant documents so that the NRF can process the nomination and release funds.

All unused funds will be cancelled and/or re-distributed under the programme. In addition, no carry forwards will be considered under the DST-NRF Collaborative Postgraduate Training.

7. Awardee Responsibilities

7.1 Reporting

Continued funding beyond the first year is dependent on the submission of an APR to the NRF by the students nominated under the award, during a call for APR's in October/ November of each grant year. Continued funding will be considered based on satisfactory progress and host support.

An Annual Progress Report (APR) must be submitted by the nominee in a format provided by the NRF, documenting progress made against set objectives and research outputs. The grant holder needs to re-nominate the candidate and upload proof of registration for that particular year. The NRF may in consultation with the Research 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 for approval prior to the change.

7.2.1.2   Changes in supervisor/mentor

Changes may occur where a supervisor/mentor needs to be changed from the original research proposal. The request must have institutional DA endorsement and be submitted to the NRF *via* the Research Office. The grant holder should notify the NRF in writing of the proposed changes as soon as possible.

8. Scientific Compliance

8.1 Methodology

The grant holder takes scientific responsibility for the research to be undertaken, including its objectives and the methodology outlined in the project proposal. The grant holder is required to devote the necessary time to the research project in compliance with the workplan 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 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 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 candidate 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.

9. 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.