EVALUATION AND RATING

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

Please note that the closing date for applications is 15 February 2017

APPLICATION FOR EVALUATION AND RATING: 2017

Guidelines and instructions for completing the application for evaluation and rating via NRF Online Submission System (https://nrfsubmission.nrf.ac.za)

Closing date for applicants:	**15 February 2017**
Closing date for final submission of rating applications	
by Designated Authorities (DAs) to the NRF:	**28 February 2017**

A.   GENERAL INFORMATION

1.   The evaluation of researchers is based primarily on the quality and impact of the research outputs in the recent past and is undertaken by national and international peer reviewers who are requested to critically scrutinise the completed research. 'Recent', in the context of the NRF evaluation and rating system, means outputs of the past 8 years, i.e. from **1 January 2009 to 31 December 2016** (for applications which will be submitted for the 2017 closing date). The onus is therefore on applicants to present the necessary evidence in a manner that will enable reviewers to make fair judgement.

2.   **Please note:**
   - **Applicants are urged to determine the internal closing date for submission to the designated authority at their employing institution and ensure that they strictly adhere to their own institution's internal deadlines as this will be prior to the NRF's closing date.**
   - Applications must successfully pass through the institution's internal evaluation processes before submission to the NRF.
   - A time-out will appear when there is no activity on the system for 25 minutes. Click the refresh button (in the pop-up box) as this will enable the continuation/completion of the application. When licking the close button the system will close.

3.   Please note the following important points:
   Rating applications on NRF Online Submission System will be accessible from mid-Septmber 2016 and the system will automatically close at 23:59 on 15 February 2017. **No late applications will be accepted as the IT system is programmed to:**
   - **disallow the creation of rating applications after the closing date**
   - **disallow the submission of existing applications**
     - The only valid application will be the online application.
     - Upload copies of your 5 best research outputs captured in the section ' Best research outputs in the last 8 years' under 'Attachments'. **Note: Please ensure that the title of each research output correlates with the description e.g. title of article.**
     - Applications must be accurate, comprehensive and contain sufficient detail to allow for proper assessment, as the information supplied provides the foundation on which peer reviewers base their judgements. If applicants do not adhere to this request, their applications will be returned, thus leading to a delay until the next closing date.
     - An * denotes that this field is compulsory when completing the information on the NRF Online submission System.
     - If migrated data is all in CAPS, please change to title case/lower case (whichever is relevant) as it is difficult to read.
     - Applicants are advised to complete their submissions via the NRF Online Submission System as soon as possible to prevent IT systems' overload at their institutions.
     - ***Applicants are advised that should they be successful in obtaining an NRF rating the result will be published on the NRF website.***

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

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

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

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

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

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

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

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

Landing Page
- PLEASE NOTE: The summary only lists output records that were migrated from the previous NRF Online system. New records that are added on this system will not form part of this summary.
- Applicants must ensure that their CV is updated/completed before creating an application.
- In order for your migrated research outputs to show on the CV or be accessible for selection on applications that require your publication record, you **must** verify (review) the outputs listed in the **Research Outputs Summary** table. In order to do this, click on the output type that still has outputs to be verified (see the To be Reviewed column), scroll to the bottom of the screen and a heading saying Cleaned-up research output records from NRF Online will be displayed. Click on the little black arrow. This will display the output(s) that needs to be verified. Then click on the View icon, it will open a screen with the data for the output. Please fill in the missing information and save the page. If you have more than one output per output type, click on View for the next output. Do this for all the outputs, the output type on the Landing Page should now say 0. Move on to the next output type and repeat the process. Should you wish to delete an output, click on the Feedback box, fill in the **Feedback to the NRF box** (e.g. output duplicated please delete) and in the **Status** field please select Delete.
- In some cases, researchers' outputs don't show at all. The reason for this is that no outputs were added on the old NRF Online system so there was nothing to migrate.
- If there were outputs on the old NRF Online system but they do not show in the summary you need to ensure that the ID/passport numbers used on both the old NRF Online and this system (NRF Online Submission System) are the same. Please contact the NRF should your outputs not show so that this can be rectified.

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

1. Additional important information

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

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

There are four types of applications:

- o **New application for evaluation –** Researchers who have never applied for rating in the past or researchers who previously applied for rating but the application was withdrawn
- o **Re-evaluation by invitation** – Researchers whose rating is current (valid) and who have been invited by the NRF to submit an application for rating.
- o **Re-evaluation** – Researchers whose ratings have lapsed (no longer valid) or researchers whose application for rating was unsuccessful three or more years ago.
- o **Special re-evaluation** – An applicant may apply for special re-evaluation if since a previous evaluation he/she has shown such progress that, in the opinion of the relevant authority at the employing institution, the existing rating is quite inconsistent with the applicant's present standing.

- Please select an eligibility type. You will be asked to provide a brief explanation in accordance with the eligibility criteria (click the link eligibility criteria) **except** if you select

- 1. ***Permanent/fulltime (P/FT) researchers at NRF recognised institutions***

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

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

- The '**Final Submit'** button will be enabled once all compulsory fields applicable to the rating application have been completed. When you have completed your application, click the '**Final Submit'** button at the bottom of the 'Edit Application' screen. Once this is done you will not be able to edit the application (i.e. it will become a 'READ ONLY' document) and the 'Edit' button next to the application (My Applications screen) will become a 'View' button. **This will notify the Designated Authority at your institution that your application has been submitted to them for further processing.**

  A PDF version of your application will be generated once your application has been electronically submitted to the designated authority. Should any changes need to be made after the 'Final Submit' button has been clicked the Designated Authority (DA) at your institution will have to 'unlock' your application for editing.

C.   RESEARCH OUTPUTS

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

Please note: **Should a status of 'In Press', 'Accepted', 'Submitted' or 'Not Relevant' be selected for an output, no year will appear for the output, therefore it will not appear on your application form and will also not be available for selection as one of your best in the last eight years or one of the ten best outputs from the period prior to the last eight years.**

Important information:

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

1.   PRIMARY OUTPUTS

The following outputs are listed as Primary Outputs:

- Books

- Chapters in Books

- Refereed/Peer-reviewed conference proceedings

- Articles in refereed/peer-reviewed journals

2.   Patents

The following information must be provided for each patent:

- Please provide information on all past and current patents under your name or as a result of a collaborative effort. Also include whether the patent is a Utility, Design or Plant patent in the description section.

- Only **Granted** patents will show on the rating application.

3. **SECONDARY OUTPUTS**

General Information

The description for each of the research outputs listed below should be succinct, i.e. equivalent to half an A4 page, font size 10. Carriage returns are counted as two characters and should provide sufficient detail on the research achievements for reviewers to give an informed opinion. Ensure that only one item is entered at a time.

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

> ***N.B. Do not provide an exhaustive list of additional research outputs from which there were no tangible or published outputs - rather be selective and include only your best outputs that may be accessed and assessed by the reviewers as enhancing the research.***

The following outputs are listed as Secondary outputs:

- **Keynote/Plenary addresses**

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

- **Other significant conference outputs**

- **Technical/Policy reports**

- **Products**

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

- **Artefacts**

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

- **Prototypes**

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

- **Other recognised research outputs**

- **Books edited by Applicant**

  Edited works should include publications that you have edited, including introductions or editorial commentary. You should make clear precisely what your contribution has been and the ways in which it includes substantial original research.

  Please note that Chapters (that you have authored) in edited books that include substantial original research, should be listed under Books or Chapters in Books.