SUPER MoRRI Annual Event
Africa Regional Webinar
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Evaluation Practices of Research and How Responsibility is Included

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RE Mandate

RE is the custodian for all <u>peer-based</u> reviews and evaluations conducted by NRF-RISA.

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These will all generally be research-based and falling within the mandate of the NRF

Joint Statement on Ethical Research and Scholarly Publishing Practices Principles

As a result of NRF's position on ethical research and scholarly publishing practices, the NRF found it appropriate to spearhead the formulation of a *"Joint Statement on Ethical Research and Scholarly Publishing Practices"* ([Click Here](#)) that sets out a national position on the issue of research ethics and scholarly publishing (2019).

# Statement on Ethical Research and Scholarly Publishing Practices
(Principles adopted)

1. Responsibility

2. Ethics and integrity

3. Methodology and data

4. Authorship

5. Acknowledgement of contributions

6. Peer review

7. Social awareness

8. Conflicts of interest

9. Editorial

10. Research publishing environment

11. Predatory journals and unethical editorial practices

12. Quality over quantity

How NRF Tries to Manage this Issue Beyond the Joint Statement

1. Expressed in Master Funding Administration Agreement.

2. Expressed when remote reviewers access submissions on NRF systems.

3. Presented to panels at receipt of documents & beginning of panel meetings.

4. Currently NRF is guided by panelists-generated lists of "predatory, possibly predatory and unaccredited" journals.

5. Expressed in the Conditions of Grant.

Choice in Type of Review/Evaluation

LOW ← Complexity & Intensity Level → **HIGH**

Submissions (Online) → **Physical and/or Virtual Panel Meetings**

→ **1-Stage Process** (no remote reviews)

→ **2-Stage Process** (includes remote reviews)

→ **Comprehensive** (Includes interviews, surveys, presentations & site visits)
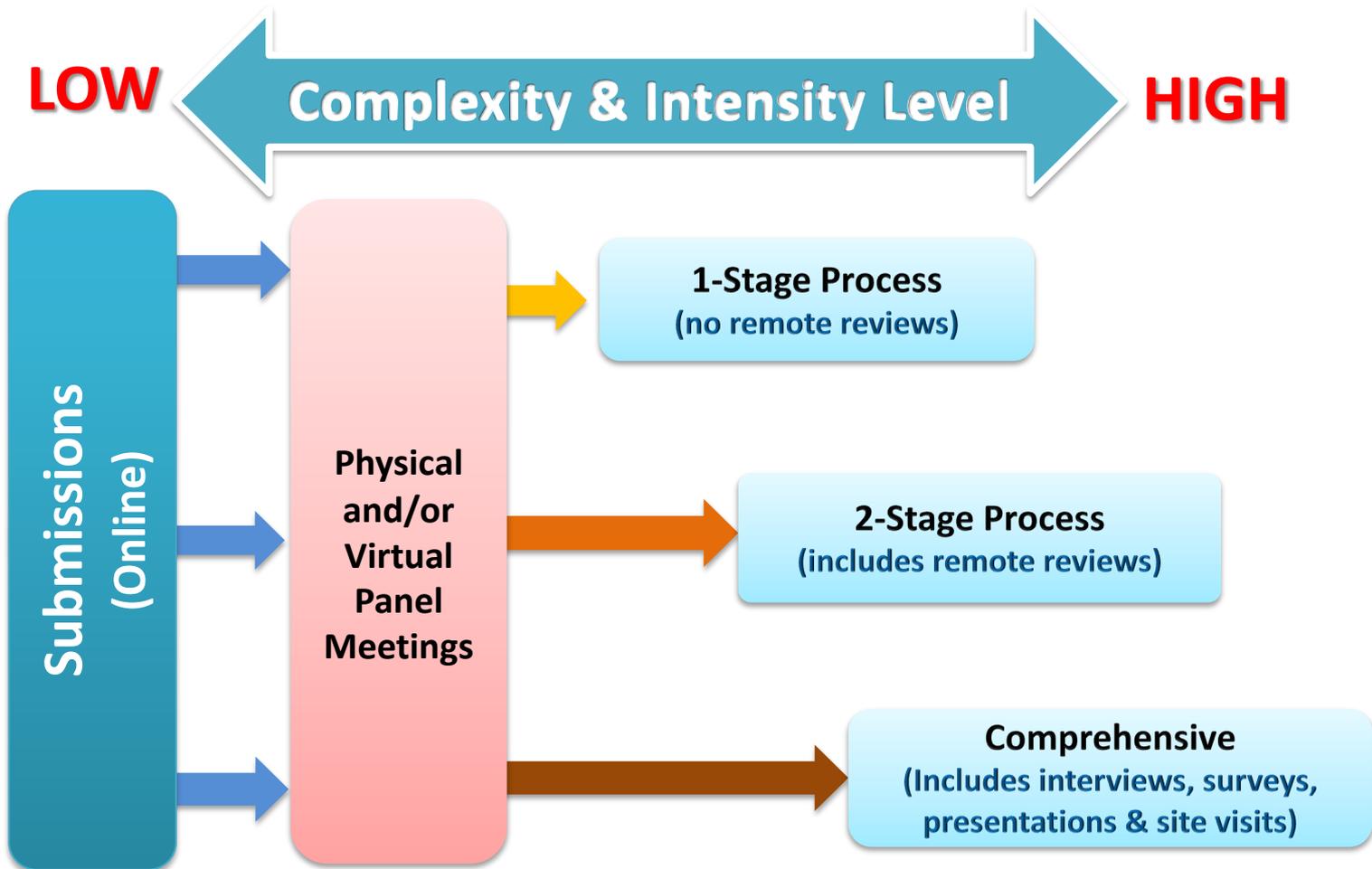
High level Illustration of process of 2-stage review of grant applications.
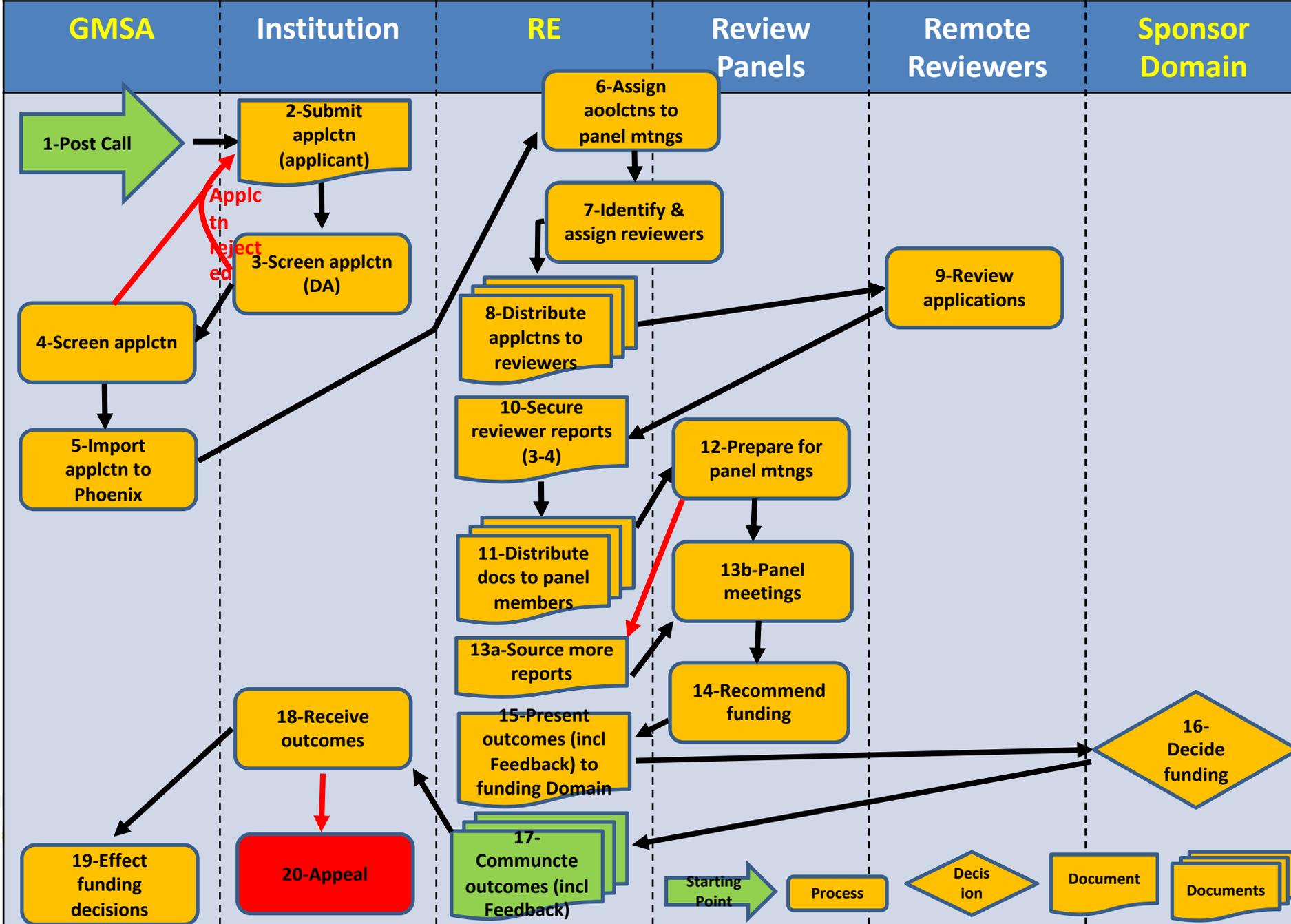
GMSA	Institution	RE	Review Panels	Remote Reviewers	Sponsor Domain

1-Post Call

2-Submit applctn (applicant)

3-Screen applctn (DA)

Applctn rejected

4-Screen applctn

5-Import applctn to Phoenix

6-Assign aoolctns to panel mtngs

7-Identify & assign reviewers

8-Distribute applctns to reviewers

9-Review applications

10-Secure reviewer reports (3-4)

11-Distribute docs to panel members

12-Prepare for panel mtngs

13b-Panel meetings

13a-Source more reports

14-Recommend funding

18-Receive outcomes

15-Present outcomes (incl Feedback) to funding Domain

16-Decide funding

20-Appeal

17-Communcte outcomes (incl Feedback)

19-Effect funding decisions

Starting Point

Process

Decision

Document

Documents

Applicable Rules & Principles for Reviewing & Evaluation

➢ **Use of experts/peers in our assessment processes.**

➢ **Observation of confidentiality in handling submissions.**

➢ **Declaration & avoidance of conflict in processing applications.**

➢ **Practice & behaviour of impartiality at all times.**

➢ **Transparency – rules, procedures & criteria published & accessible *a priori* & reasons for non-support communicated**

➢ **Bound by public accountability compliance laws.**

➢ **Right of appeal protected.**

Resolution of Allegation of Unethical Conduct
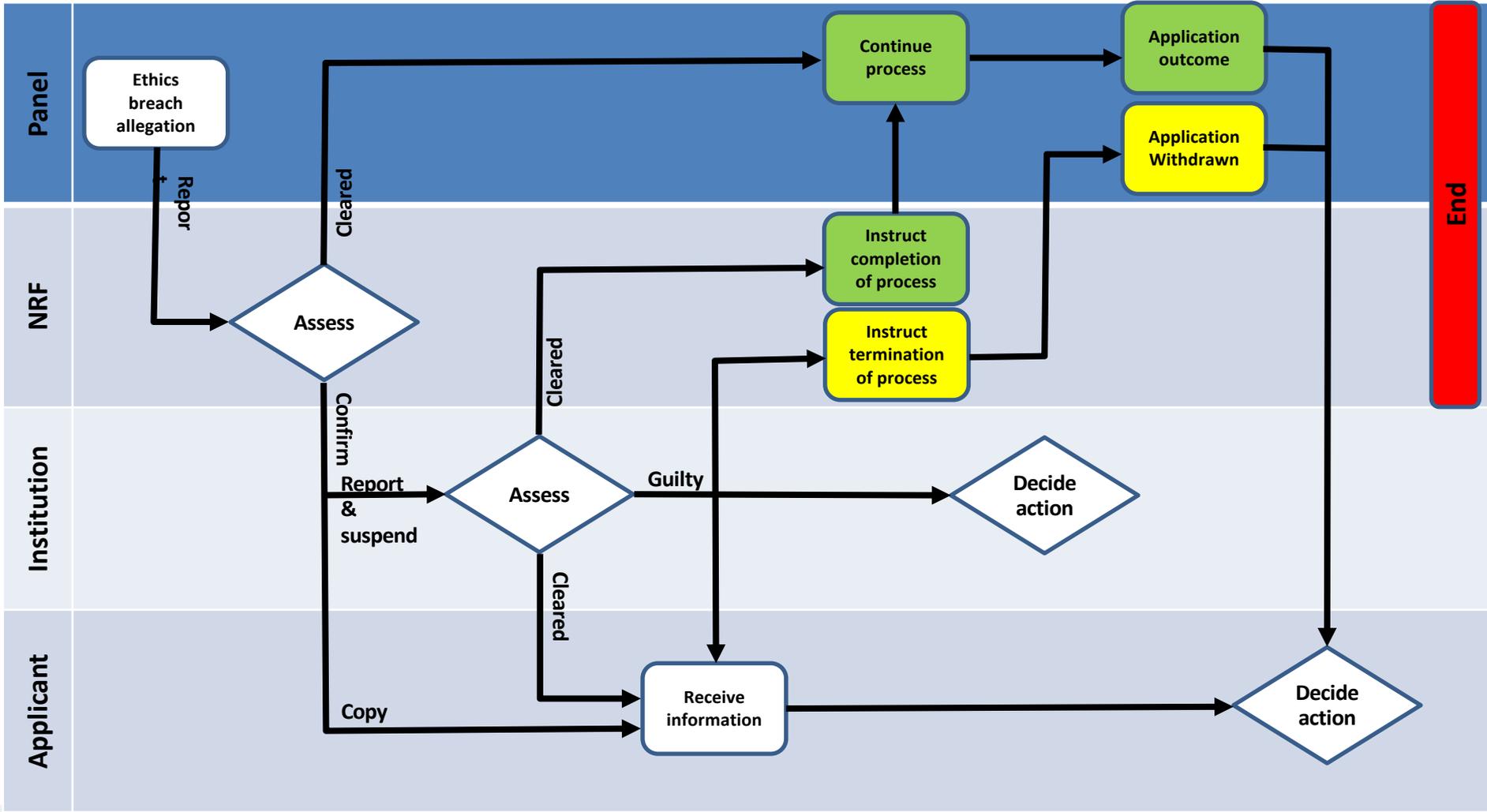
Observations of the NRF

Ethical breaches that have come to the attention of the NRF and warranted communication with institution as per outlined process, have been extremely few. Over the past 6 years, have ranged between 0 & 4, with 2018 having reached a record 8 cases (approx. 0.06%).

Enkosi, Thank you, Re a leboga, Siyabonga, Dankie