

STRATEGIC FUND REGULATION

Type of document	Regulation
Purpose	Describing the purpose of the Strategic Fund, Strategic Fund categories and their criteria, as well as related roles and responsibilities.
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Regulation Curator²	Dr Barbara Pool
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¹ Regulation Owner: Head(s) of Responsibility Centre(s) in which the Regulation functions.

² Regulation Curator: Administrative head of the division responsible for the implementation and maintenance of the Regulation.

Key terms / Sleutelterme

English	Afrikaans
<i>Strategic Fund</i>	Strategiese Fonds
<i>Funding categories</i>	Kategorieë vir befondsing
<i>Funding criteria</i>	Befondsingskriteria

Abbreviations

SF Strategic Fund

SFC Strategic Fund Committee

PASS Professional Administrative Support Services

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1. Introduction

The Strategic Fund (SF) has been created by Stellenbosch University to support **new initiatives** that give expression to the University's institutional strategy. It is funded annually mainly from a percentage of the main budget determined during the budgetary cycle. The Rectorate approves the Regulation through which the fund is managed and determines the allocation of funds to the specific categories. Decisions regarding projects and allocations are made by the Strategic Fund Committee (SFC). The Deputy Vice-Chancellor: Strategy, Global and Corporate Affairs is responsible for the overall management of the Strategic Fund, with the Strategic Fund Secretariat, located in the Division for Strategic Initiatives, managing all operational and administrative processes.

2. Focus of the Fund

The Strategic Fund focuses **on new initiatives** that are directly aligned with the vision, mission and core strategic themes of the University, as contained in *Vision 2040* and the *Strategic Framework 2019–2024*, and that adhere to the criteria set out in the Regulation. Funds are allocated in respect of the six core strategic themes of the University and the associated institutional goals. These themes are a thriving Stellenbosch University, a transformative student experience, purposeful partnerships and inclusive networks, networked and collaborative teaching and learning, research for impact, and employer of choice. (For more detail, please consult the Strategic Implementation Plan 2019 – 2024.)

3. Strategic Fund categories

There are three funding categories, with one category subdivided into three subcategories:

STRATEGIC FUND CATEGORIES STRATEGIESE FONDSKATEGORIEË					
	CATEGORY A KATEGORIE A	CATEGORY B KATEGORIE B	CATEGORY C KATEGORIE C		
			CATEGORY C.1.1 KATEGORIE C.1.1	CATEGORY C.1.2 KATEGORIE C.1.2	CATEGORY C.2 KATEGORIE C.2
TYPE TIPE	Project Projek	Project Projek	Appointment Aanstelling	Salary contribution Bydrae tot salaris	Appointment Aanstelling
FOCUS OF FUND FOKUS VAN FONDS	Within or across environments In of oor omgewings	Across University Oor Universiteit	Environment specific Omgewingspesifiek	Environment specific Omgewingspesifiek	University specific Universiteitspesifiek
SOURCE OF FUNDS BRON VAN FONDS	% of main budget % van hoofbegroting	% of main budget % van hoofbegroting	% of main budget % van hoofbegroting	% of main budget % van hoofbegroting	Additional revenue streams Bykomende inkomstestrome
PERIOD AVAILABLE PERIODE BESKIKBAAR	1 – 3 years 1 – 3 jaar	1 – 3 years 1 – 3 jaar	1 – 3 years 1 – 3 jaar	1 month – 3 years 1 maand – 3 jaar	Determined by appointment Bepaal deur aanstelling

3.1 Category A: Strategic Initiatives: These entail new initiatives that will have a significant impact on the vision and strategy but are initially not entirely or partially affordable via the normal funding mechanisms and other sources of potential funding. As such, the fund fulfils the role of ‘provider of start-up capital’ and in exceptional cases also the supplementary role of ‘provider of bridging capital’. In the case of bridging capital, it will be made available for very limited periods (with a maximum of three years) until such time as income streams from, amongst others, subsidy and study fees (main budget), research-related contract revenue (third-stream income), donations (fourth-stream income) or other fifth-stream income (e.g., short course income) are realised in the environments. (See Addendum A for Category A-specific objectives, format, criteria, etc.)

3.2 Category B: Strategic high-rise and public squares projects: These entail large, collaborative transdisciplinary, cross-faculty research projects with an excellent potential to uniquely position SU as a global leader within a specific field of research, and which over time will attract significant external research grants and donations (‘high-rises’). It also includes new interdisciplinary and cross-faculty research projects, the so-called ‘public squares’ that could become ‘high-rises’ in the future. These projects support SU’s commitment to research and lend focus to the University’s six core strategic themes and the five overarching strategic research areas (See Addendum F for the overarching strategic research areas). The applications will be assessed on a competitive basis. (See Addendum B for Category B-specific objectives, format, criteria, etc.)

3.3 Category C: Strategic appointments: This category replaces the Rector's Strategic Personnel Fund. It has two aims, namely, to achieve and accelerate **diversity** at all levels and/or to make **targeted, strategic appointments**. There are three subcategories.

3.3.1 Category C.1.1 involves applications for the funding of staff costs for an environment-specific strategic appointment in the short term (maximum three years) until the defrayment can be included in the environment's Personnel Plan. The source of funds is the percentage allocation agreed upon for the Strategic Fund. (See Addendum C for Category C.1.1-specific objectives, format, criteria, etc.)

3.3.2 Category C.1.2 involves providing ad hoc, short-term support (maximum three years) to retain an existing staff member when the individual is offered a position at a different institution and additional funds are not available due to the urgent nature of the situation. The defrayment of the additional funds must however be included in the environment's Personnel Plan and remuneration budget within the timeframe agreed (maximum three years). The source of funds is the percentage allocation agreed upon for the Strategic Fund. (See Addendum D for Category C.1.2-specific objectives, format, criteria, etc.)

3.3.3 Category C.2 involves targeted strategic appointments that add to the University's overall prestige. These applications are initiated by the Rector and are for a specified period, with costs defrayed from additional revenue streams. (See Addendum E for Category C.2-specific objectives, format, criteria, etc.)

4. Funding principles

4.1 The Strategic Fund serves as the entry point for **new** applications for project and strategic staff appointments, as set out in the various categories.

4.2 Source of funding

4.2.1 Categories A, B, C.1.1 and C.1.2 are funded from the main budget in accordance with applicable budgetary principles, and from any funds that would be earmarked for the fund in terms of a management decision. The available funds will be divided according to a guideline percentage for utilisation in the various categories, as determined annually by the Rectorate.

4.2.2 Category C.2 is funded from additional revenue streams, as determined by the Rector.

4.3 Period of allocations

4.3.1 For categories A, B, C.1.1 and C.1.2, multi-year allocations can be considered, with a maximum allocation of three years.

4.3.2 For Category C.2, multi-year allocations can be considered.

4.4 Management of funds

- 4.4.1 Since the Strategic Fund is project based, funds allocated to a project are, as a standard, managed in a **separate cost point** within the environment (within the main budget). Strategic Fund rules will apply and the cost point will be non-interest bearing.
- 4.4.2 In the case of staff appointments, the funds are linked to an approved **job number** and the associated cost centre. It must therefore be visible within the Personnel Plan of the environment concerned.
- 4.4.3 Depending on the nature of each specific application, the SFC decides, per individual approved application, whether funds:
 - 4.4.3.1 will be repaid partially; or
 - 4.4.3.2 be granted as 'venture capital'.
- 4.4.4 For all categories, **unused funds** (after following the change request process) will revert to the Strategic Fund for reallocation. This includes savings that result from appointments made on a lower job level than applied for.

4.5 The Strategic Fund is aimed at providing financial assistance for a specified period, not at fully funding projects. Applicants must therefore be aware of the following:

- 4.5.1 Although seed funding may be utilised for project **appointments** or the establishment of a new post, the carry-through component must be borne by the environment and be indicated as such in the multi-year Personnel Plan. The only category where this may vary, depending on the nature of the appointment, is Category C.2.
- 4.5.2 Funding will not be allocated for items where **existing funding mechanisms** are already provided for within the current budgeting model. These include bursaries, facilities, etc. Seed funding may be requested, but the proposal must include guarantees that the carry-through component will be borne by the environment.
- 4.5.3 Requests from University-owned companies or subsidiaries will be considered against the Strategic Fund focus and guidelines, and in support of the academic project. Support for commercial activities will not be considered and it is preferable that these companies or subsidiaries partner with internal University entities, with the internal entity as the primary partner, taking full responsibility for the management of the project and funds.

4.6 Movement of funds after approval

- 4.6.1 Categories A and B:
 - 4.6.1.1 Funds may only be moved between different components of the project's operational budget, and only within the guidelines set out in the Regulation.
 - 4.6.1.2 In accordance with the University's main budget principles, funds may not be moved between the remuneration budget and the operational budget.
- 4.6.2 Categories C.1.1, C.1.2, and C.2: Funds may only be utilised for the purpose and amount approved by the Strategic Fund Committee. If funds cannot be used for the approved purpose, it will revert to the Strategic Fund. Any savings also revert to the Strategic Fund.

5. Roles and responsibilities

5.1 The Rectorate

5.1.1 Purpose

The Rectorate approves the Strategic Fund Regulation and decides on the division of available funds between the different Strategic Fund categories.

5.1.2 Mandate/responsibilities

5.1.2.1 Approves the Strategic Fund Regulation.

5.1.2.2 Decides on the division of funds between the different Strategic Fund categories.

5.1.2.3 Provides, on request, advice to the Rector regarding Categories C.1.2 and C.2 applications.

5.2 Deputy Vice-Chancellor: Strategy, Global and Corporate Affairs

5.2.1 Purpose

As delegated by the Rector, the executive manager responsible for the overall management of the University's overarching strategic process, the Deputy Vice-Chancellor: Strategy, Global and Corporate Affairs, is also responsible for the overall management of the Strategic Fund. This ensures a clear and direct link between the University's strategy and the management of the Strategic Fund.

5.2.2 Mandate/responsibilities

5.2.2.1 Is the line manager for the Division of Strategic Initiatives where the secretariat of the Strategic Fund resides.

5.2.2.2 Provides input to the Strategic Fund Secretariat regarding the management and administration of the fund.

5.2.2.3 Is the entry point to the Rectorate for any matters related to the Strategic Fund.

5.3 Strategic Fund Committee (SFC)

5.3.1 Purpose

The Strategic Fund Committee (SFC) decides which projects will be funded and to what extent. The SFC also has a governance role regarding the implementation and progress of approved projects.

5.3.2 Mandate/responsibilities

5.3.2.1 Evaluation of proposals against the Strategic Fund Regulation guidelines.

5.3.2.2 Approval of new projects.

5.3.2.3 Approval of project allocations.

5.3.2.4 Governance of approved projects through status reporting.

- 5.3.2.5 Approval of change requests that fall outside of the Strategic Fund Secretariat's mandate or that are escalated to the committee by the SF Secretariat.

5.3.3 Composition of the SFC for Categories A, B and C.1.1

- 5.3.3.1 Rector
- 5.3.3.2 Vice-Rectors
- 5.3.3.3 Chief Operating Officer
- 5.3.3.4 Registrar
- 5.3.3.5 A deans' representative, nominated by the deans every two years
- 5.3.3.6 A representative from the PASS divisions, nominated by the division heads every two years
- 5.3.3.7 Members without voting rights:
 - 5.3.3.7.1 A member(s) co-opted because of expertise (internal and/or external)
 - 5.3.3.7.2 Executive Manager in the Rectorate
 - 5.3.3.7.3 Senior Director: Strategic Initiatives
 - 5.3.3.7.4 Strategic Fund Process Manager
 - 5.3.3.7.5 Chief Director: Finance
 - 5.3.3.7.6 Director: Financial Planning and Budgeting

5.3.4 Evaluation principles

5.3.4.1 Confidentiality

All information contained in the submitted documents is treated as confidential.

5.3.4.2 Impartiality

All committee members are expected to be neutral and not in any way or form favour projects that may reside in their respective responsibility centres. Projects must be evaluated solely on the merit of the applications received.

5.3.4.3 Conflict of interest

In facilitating a fair and unbiased evaluation process, Stellenbosch University requires all individuals involved in the evaluation processes to declare any personal and/or professional interests in applications under evaluation. This will enable SU to identify and manage any conflicts of interest. These declarations will be included in the minutes of the meeting.

A potential conflict of interest may arise where the evaluator is based in the same department or institution as the applicant(s). An absolute conflict of interest is considered to arise where the evaluator is a close friend or is closely related to the applicant(s), is directly involved in the work the applicant proposes to carry out, or where the co-applicant(s)

or project partner(s) is working closely with the evaluator, for example as a co-author or as a co-supervisor for a postgraduate degree, or has done so in recent years.

In a case of declared conflict of interest with a proposal(s), the individual is released from assessing the specific proposal(s) and requested to recuse him-/herself from the discussion of the specific proposal(s).

5.3.4.4 Ethical consideration

The evaluation process relies on the integrity and accountability of evaluators. Evaluators will be selected based on their expertise relating to one or more aspects of the proposal(s) under evaluation. However, evaluators must also be aware of subtle biases that could influence their judgment and recommendations, and must ensure impartiality at all times.

5.3.4.5 Transparency

The evaluation process and the criteria for assessing proposals are made public to the campus community through this Regulation.

5.4 Strategic Fund Secretariat

5.4.1 Purpose

The Strategic Fund Secretariat resides in the Division of Strategic Initiatives. It provides the secretariat to the SFC and manages all operational and administrative processes of the fund.

5.4.2 Mandate/responsibilities

- 5.4.2.1 Verifies documentation submitted to the Strategic Fund in terms of relevant criteria and format.
- 5.4.2.2 Reviews the context and implications of project proposals, where applicable.
- 5.4.2.3 Solicits input from Finance and Human Resources regarding the proposed project budgets and human resource implications.
- 5.4.2.4 Manages the process for the grading of applications.
- 5.4.2.5 Prepares all documentation for the SFC meetings.
- 5.4.2.6 Keep minutes of SFC decisions.
- 5.4.2.7 Inform applicants of the decisions of the SFC.
- 5.4.2.8 Keeps a record of applications received, not processed (with motivation why not) and approved.
- 5.4.2.9 Manages all Strategic Fund administrative processes that follow on the approval of an application. This includes verifying cost centres, checking expenditure against project plans, etc.
- 5.4.2.10 Sets up the Strategic Fund project infrastructure.
- 5.4.2.11 Provides project managers with all relevant forms and documents, as indicated on the checklist for every category.
- 5.4.2.12 Monitors the progress of projects, which includes receiving status

updates from projects, in the format and according to the timelines communicated to the project managers.

- 5.4.2.13 Evaluates and manages change requests, as per the guidelines provided in the Regulation.
- 5.4.2.14 Compiles status reports for the SFC, as and when required.
- 5.4.2.15 Annually provides a financial report to Finance regarding the status of the Strategic Fund, to be included in the reporting of the financial results to SU Council.
- 5.4.2.16 May suspend funding to projects if project managers do not adhere to guidelines or do not submit documentation, e.g. status reports, when requested. Project-specific milestones will be agreed with project managers, with progress measured against these milestones.

5.4.3 Composition

- 5.4.3.1 Senior Director: Strategic Initiatives
- 5.4.3.2 Strategic Fund Process Manager
- 5.4.3.3 Members who may be co-opted for specific expertise

5.5 Strategic Fund grading panel

5.5.1 Purpose

The grading panel evaluates and scores applications against the criteria for the relevant category, as stated in the Regulation.

5.5.2 Mandate/responsibilities

- 5.5.2.1 Verifies that all documentation was submitted, as required for the relevant category and round of application.
- 5.5.2.2 Evaluates and scores every application against the criteria for the relevant category and round of application, as provided in the Regulation.
- 5.5.2.3 Provides feedback to the SF Secretariat in the format required.

5.5.3 Composition

- 5.5.3.1 Strategic Fund Process Manager (as convenor of the panel)
- 5.5.3.2 Three faculty representatives, nominated by the faculties via the Deans' Forum, for their expertise in evaluating proposals
- 5.5.3.3 Three PASS representatives, nominated by the PASS members of the General Managers' Meeting, for their expertise in evaluating proposals

5.5.4 Evaluation principles

5.5.4.1 Confidentiality

Before any documentation is shared, a statement of confidentiality is signed by all evaluators. All information contained in the submitted documents is treated as confidential and may only be discussed with the Strategic Fund Secretariat.

5.5.4.2 **Impartiality**

Projects must be evaluated solely on the merit of the applications received. All committee members are expected to be neutral and not in any way or form favour projects that may reflect their own interests.

5.5.4.3 **Conflict of interest**

In facilitating a fair and unbiased evaluation process, Stellenbosch University requires all individuals involved in the evaluation processes to declare any personal and/or professional interests in applications under evaluation. This will enable SU to identify and manage any conflicts of interest.

A potential conflict of interest may arise where the evaluator is based in the same department or institution as the applicant(s). An absolute conflict of interest is considered to arise where the evaluator is a close friend or is closely related to the applicant(s), is directly involved in the work the applicant proposes to carry out, or where the co-applicant(s) or project partner(s) is working closely with the evaluator, for example as a co-author or as a co-supervisor for a postgraduate degree, or has done so in recent years.

In a case of declared conflict of interest with a proposal(s), the individual is released from assessing the specific proposal(s) and requested to recuse him-/herself from the discussion of the specific proposal(s).

5.5.4.4 **Ethical consideration**

The evaluation process relies on the integrity and accountability of evaluators. Evaluators will be selected based on their expertise relating to one or more aspects of the proposal(s) under evaluation. However, evaluators must also be aware of subtle biases that could influence their judgment and recommendations and must ensure impartiality at all times.

5.5.4.5 **Transparency**

The evaluation process and the criteria for assessing proposals are made public to the campus community through this Regulation.

5.6 Responsibility Centre (RC) heads and deans

5.6.1 Purpose

RC heads and deans evaluate every proposal of their respective environments from a strategic perspective and decide whether the proposal should be submitted to the SFC.

5.6.2 Mandate/responsibilities

- 5.6.2.1 Ensures that the proposal is on the correct strategic level and of such a strategic importance to the RC or faculty that it should be submitted to the SFC.
- 5.6.2.2 Ensures that the Strategic Fund is the best source of funding for the proposal.
- 5.6.2.3 Ensures that, when compared to the total amount of strategic funding available, the amount requested is realistic.
- 5.6.2.4 Ensures that the proposal adheres to all the criteria, as set out in the Regulation.
- 5.6.2.5 Is available to represent project applications from their environments at SFC meetings, if so requested.
- 5.6.2.6 Formally signs off on any risks that may be related to the project.

5.7 Project owner, project manager and associates

5.7.1 Purpose

The project proposal clarifies who the different role-players are and what the function of each of the role-players will be.

5.7.2 Mandate/responsibilities

- 5.7.2.1 Draws up project plans and other documentation required.
- 5.7.2.2 Clarifies the single point of communication between the project and the SF process manager. This role-player will be responsible to collate all project information required by the SF process manager and to be the communication channel to the rest of the project team.
- 5.7.2.3 Executes and manages the projects according to the approved project plan.
- 5.7.2.4 Keeps all project documentation updated.
- 5.7.2.5 Manages the project budget and cost points.
- 5.7.2.6 Timeously provides project information, e.g. status reports, as and when required.

5.8 Finance

5.8.1 Purpose

Finance provides historical financial information and advises the SFC on the accuracy and sustainability of financial requests in projects.

5.8.2 Mandate/responsibilities

- 5.8.2.1 Advises faculties and PASS environment on application for funds.
- 5.8.2.2 Ensures that financial requests are in line with standard financial protocols.
- 5.8.2.3 Provides the SFC with supplementary financial information, e.g. financial history, previous allocations and financial performance.
- 5.8.2.4 Advises the SFC on financial aspects in project proposals.
- 5.8.2.5 Releases Strategic Funds on request of the SF process manager.
- 5.8.2.6 Notifies the SF Secretariat of the date for the annual financial reporting to the SU Council.

5.9 Human Resources

5.9.1 Purpose

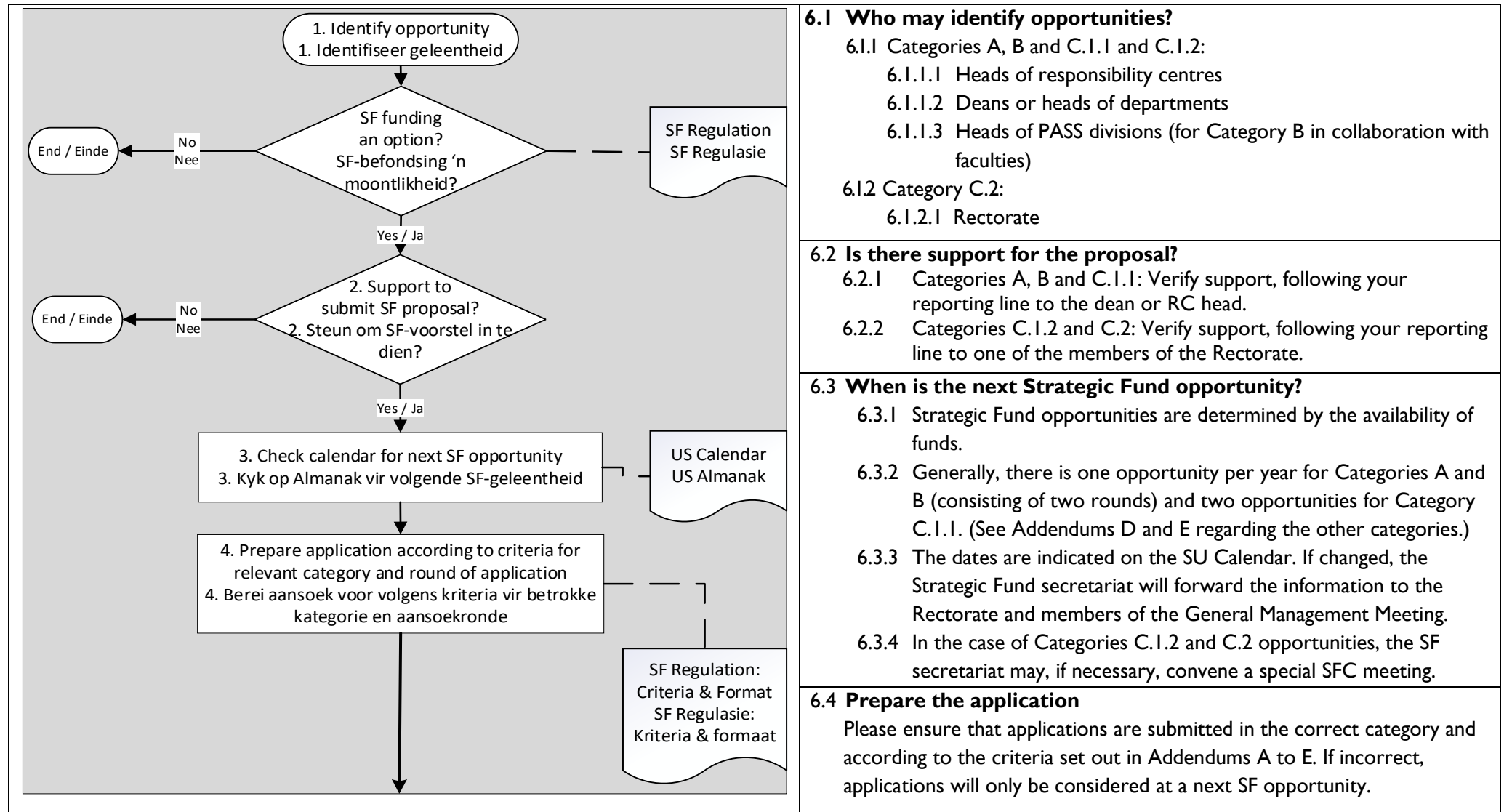
In the case of staff-related requests, Human Resources ensures that the correct HR procedures are followed.

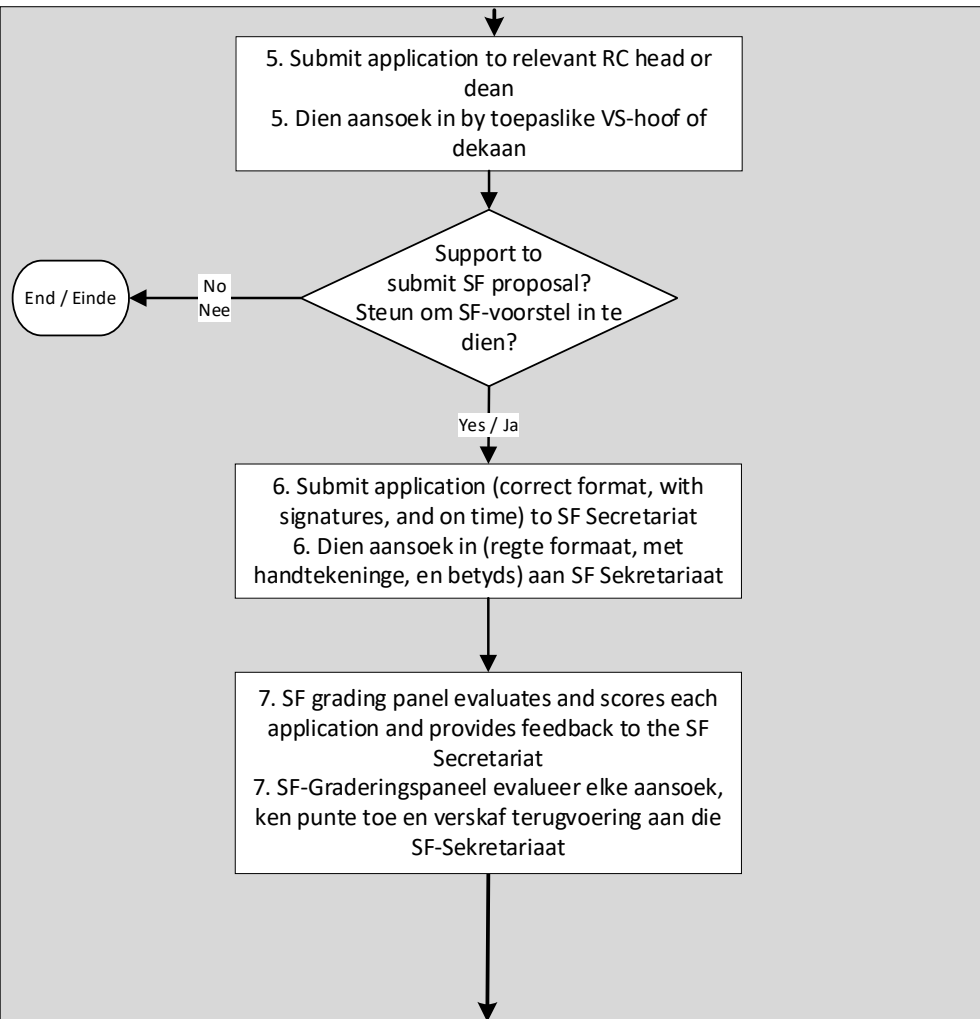
5.9.2 Mandate/responsibilities

- 5.9.2.1 Advises faculties and PASS environment on application for funds.
- 5.9.2.2 Ensures that HR-related requests are in line with standard HR protocols and remuneration.
- 5.9.2.3 Provides the SFC with supplementary human resource information, e.g. history, previous allocations and remuneration.
- 5.9.2.4 Verifies that the correct HR procedures were followed during appointments (before the SF process manager can release any funds).

6. Strategic Fund process

The flowchart below provides a high-level view of the Strategic Fund process. The column to the right provides more information, corresponding with the numbers on the flowchart. **Please refer to point 5 above for the complete roles and responsibilities of the different role-players mentioned below.**





6.5 Submit application to relevant RC head or dean

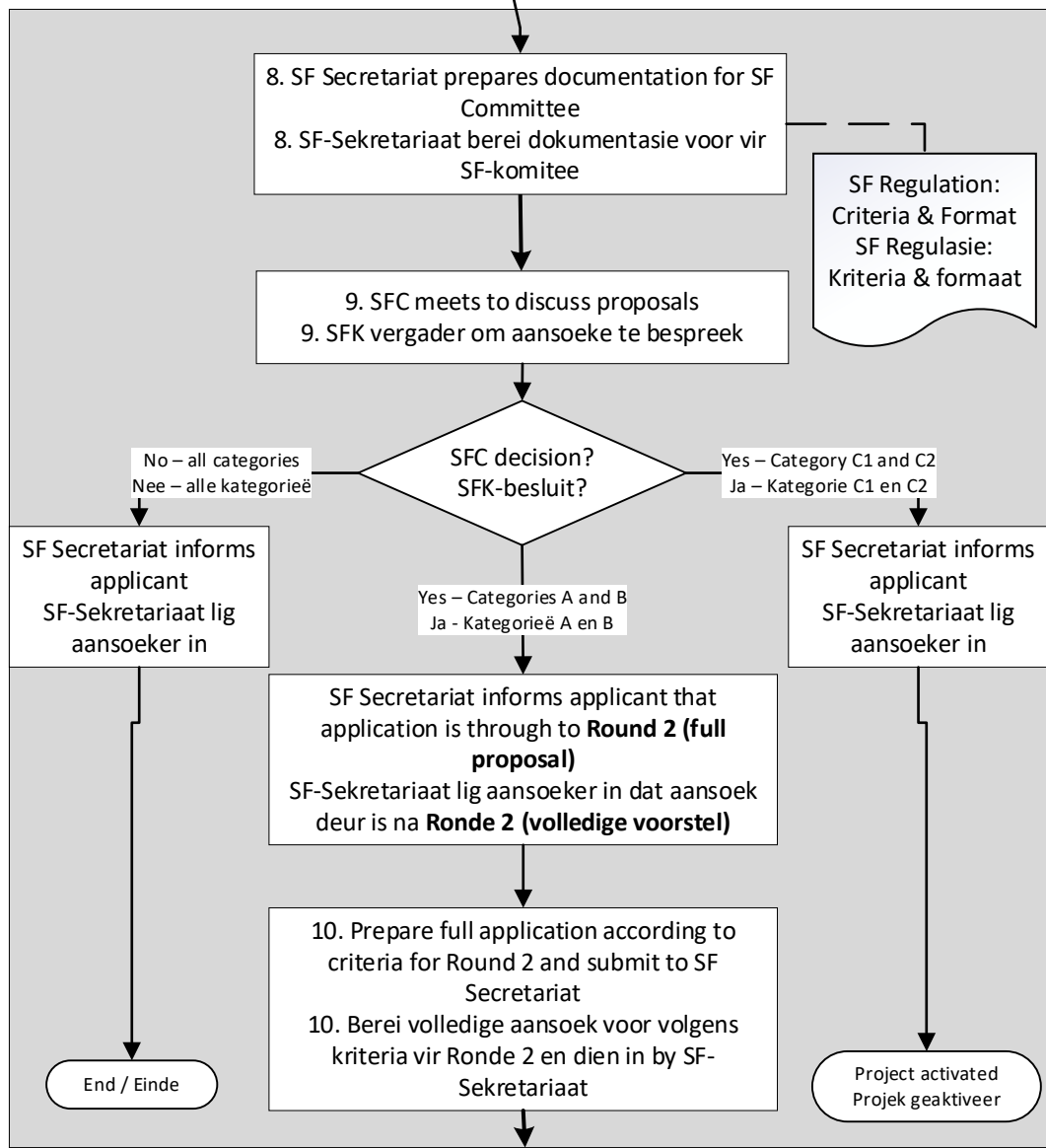
- 6.5.1 The RC head or dean evaluates the proposal within the context of the RC or faculty's environment plan and strategy.
- 6.5.2 The RC head or dean decides which applications from their respective environments to submit for consideration. Apart from strategic considerations, the order of magnitude of the application in comparison to available funding should be carefully considered.

6.6 Submit application to SF Secretariat

- 6.6.1 By the dates indicated on the SU Calendar, or as communicated by the Strategic Fund Secretariat.
- 6.6.2 In the correct category and according to the prescribed format.
- 6.6.3 With complete documentation, including the required motivations by the relevant line head and sign-off by the relevant dean or RC head.

6.7 During the **grading** process, the grading panel:

- 6.7.1 Signs a clause of confidentiality.
- 6.7.2 Receives the documentation from the SF Secretariat.
- 6.7.3 Indicates where there are potential conflicts of interest.
- 6.7.4 Verifies that the documentation submitted adheres to the relevant criteria and format.
- 6.7.5 Evaluates every application against the criteria, as applicable to the specific category.
- 6.7.6 Scores every application according to the criteria.
- 6.7.7 Submits the scores in the provided format to the SF Secretariat.



6.8 The Strategic Fund Secretariat –

- 6.8.1 collates the scores.
- 6.8.2 solicits input from Finance and Human Resources regarding the proposed project budgets and human resource implications.
- 6.8.3 has the mandate to return proposals to applicants without evaluation if it is found that the submitted proposal –
 - 6.8.3.1 does not meet the proposal submission deadline date,
 - 6.8.3.2 does not meet the eligibility criteria,
 - 6.8.3.3 does not include the requested supporting documentation,
 - 6.8.3.4 does not have the required institutional approvals, and/or
 - 6.8.3.5 contains incomplete sections in the application form.

6.9 The Strategic Fund Committee (see 5.3.3 and 5.3.4 for composition) meets and –

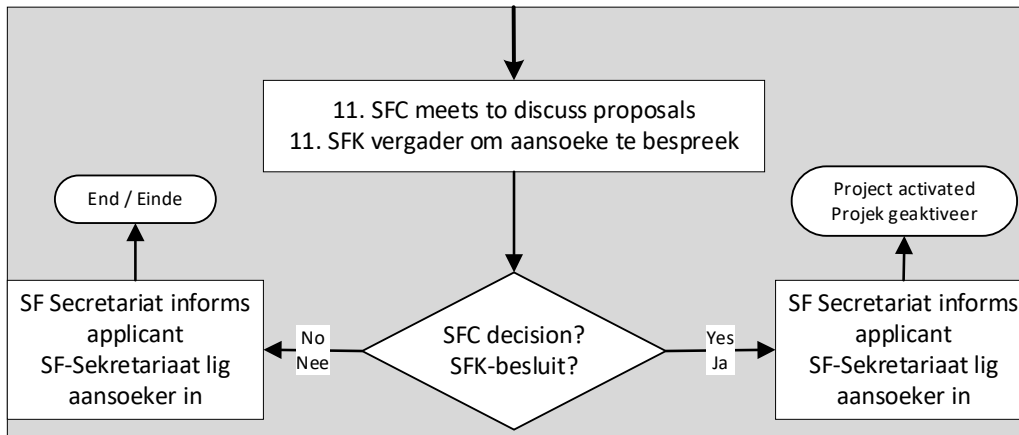
- 6.9.1 evaluates proposals against the Strategic Fund Regulation guidelines.
- 6.9.2 decides which projects in Categories A and B are approved for Round 2.
- 6.9.3 decides which applications in Category C.1.1 are approved and sets out guidelines for access to these funds.

The SF Secretariat –

- 6.9.4 minutes the decisions of the SFC.
- 6.9.5 formally informs the applicants of the decisions, as well as any conditions.

6.10 The applicants (Round 2) –

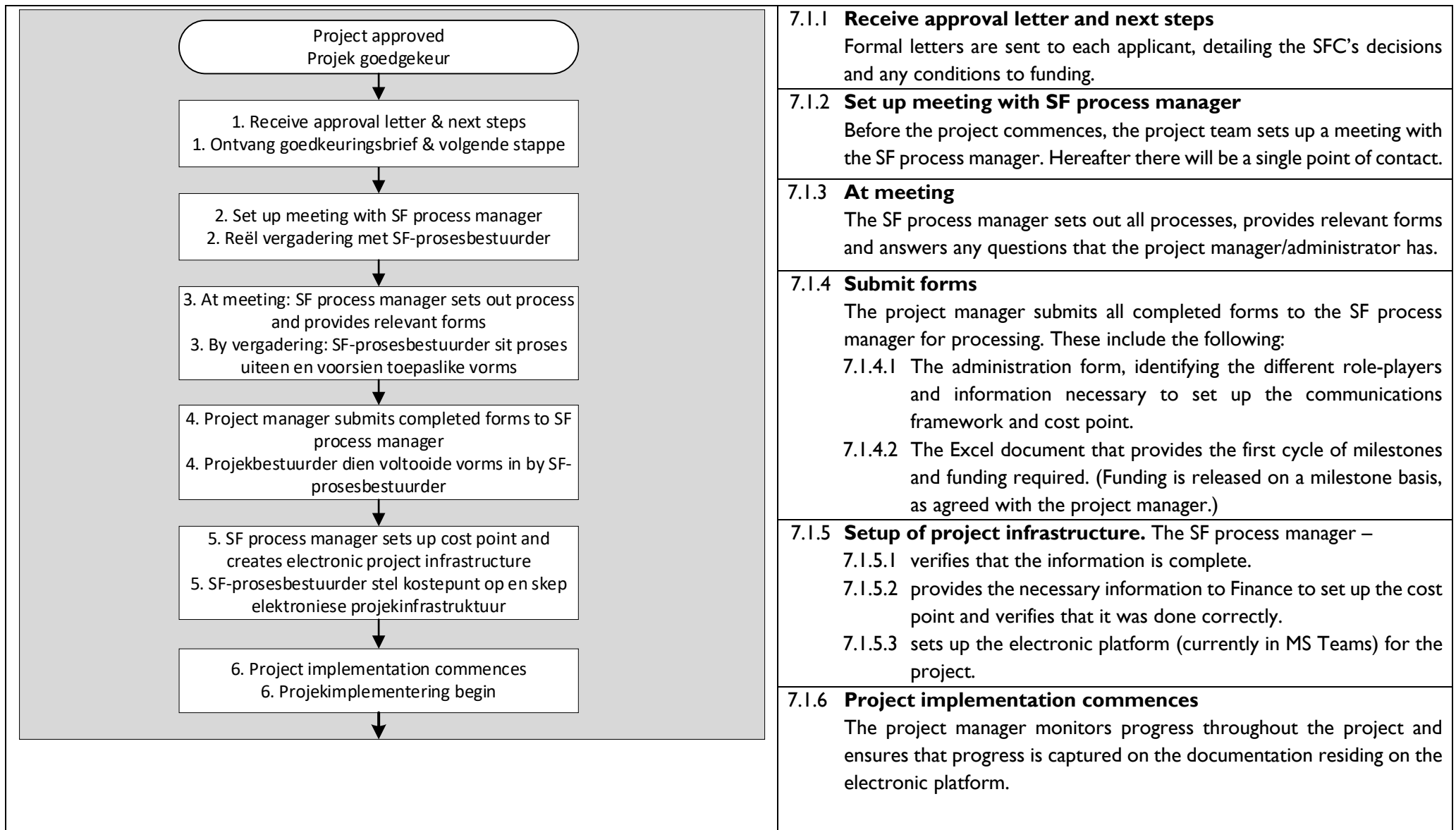
- 6.10.1 prepare full proposals according to the criteria relevant to Categories A and B (see Addendums A and B).
- 6.10.2 submit the documentation to the SF Secretariat on time and according to the relevant criteria.

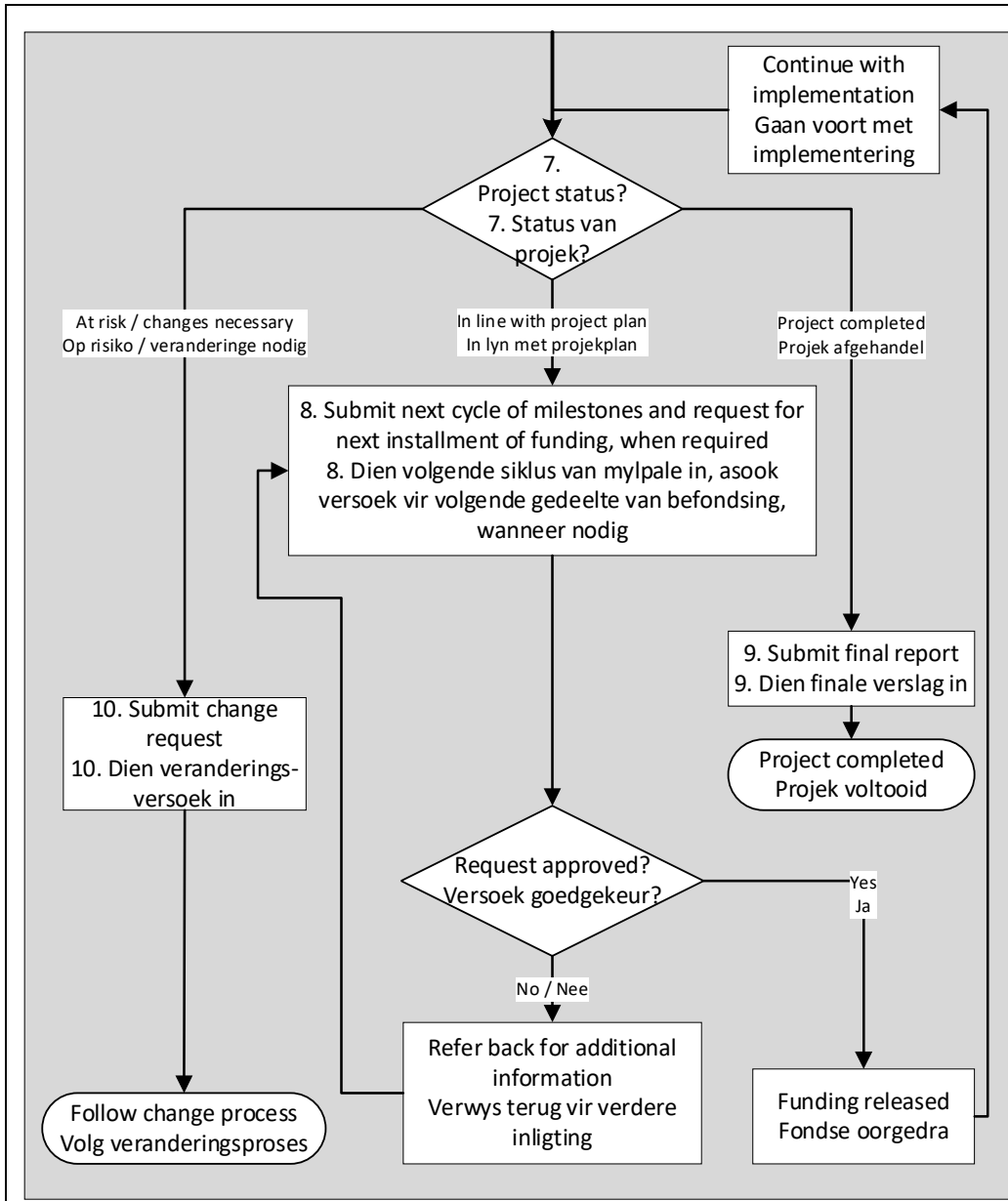


- 6.11 The **Strategic Fund Committee** meets and –
- 6.11.1 evaluates proposals against the Strategic Fund Regulation guidelines.
 - 6.11.2 decides which projects in Categories A and B are approved for funding.
 - 6.11.3 sets out guidelines for access to these funds.
- The **SF Secretariat** –
- 6.11.4 minutes the decisions of the SFC.
 - 6.11.5 formally informs the applicants of the decisions, as well as any conditions.

7. Strategic Fund: Administrative processes during implementation

7.1 Categories A and B: Progress and status





7.1.7 Project status. There are three options:

- 7.1.7.1 Progress is **within scope, on time and on budget**.
- 7.1.7.2 Progress is not as planned, which may **require changes** to the project plan or may place the project **at risk**.
- 7.1.7.3 The project is **completed**.

7.1.8 Milestones and budget

- 7.1.8.1 The release of funding is dependent on the delivery of well-defined milestones, the budget associated with it and progress made in the implementation of the project. *This will be monitored via the electronic platform, where progress must continuously be indicated in the milestone and expenditure sheet.*
- 7.1.8.2 At the beginning of the project, the project manager extracts the first milestone(s) and related budget from the project plan.
- 7.1.8.3 The SF process manager verifies that the information is correct and approves the release of the first instalment of funding.
- 7.1.8.4 If the project is on track, the project manager updates all documentation, identifies the next cycle of milestones and related budget and requests the release of these funds.
- 7.1.8.5 The SF process manager verifies progress via the electronic platform (see 7.1.8.1) and approves the next instalment of funds.
- 7.1.8.6 If no progress is reported, or lack of progress is not explained to the satisfaction of the SF process manager, no additional funds will be released until an agreement has been reached.

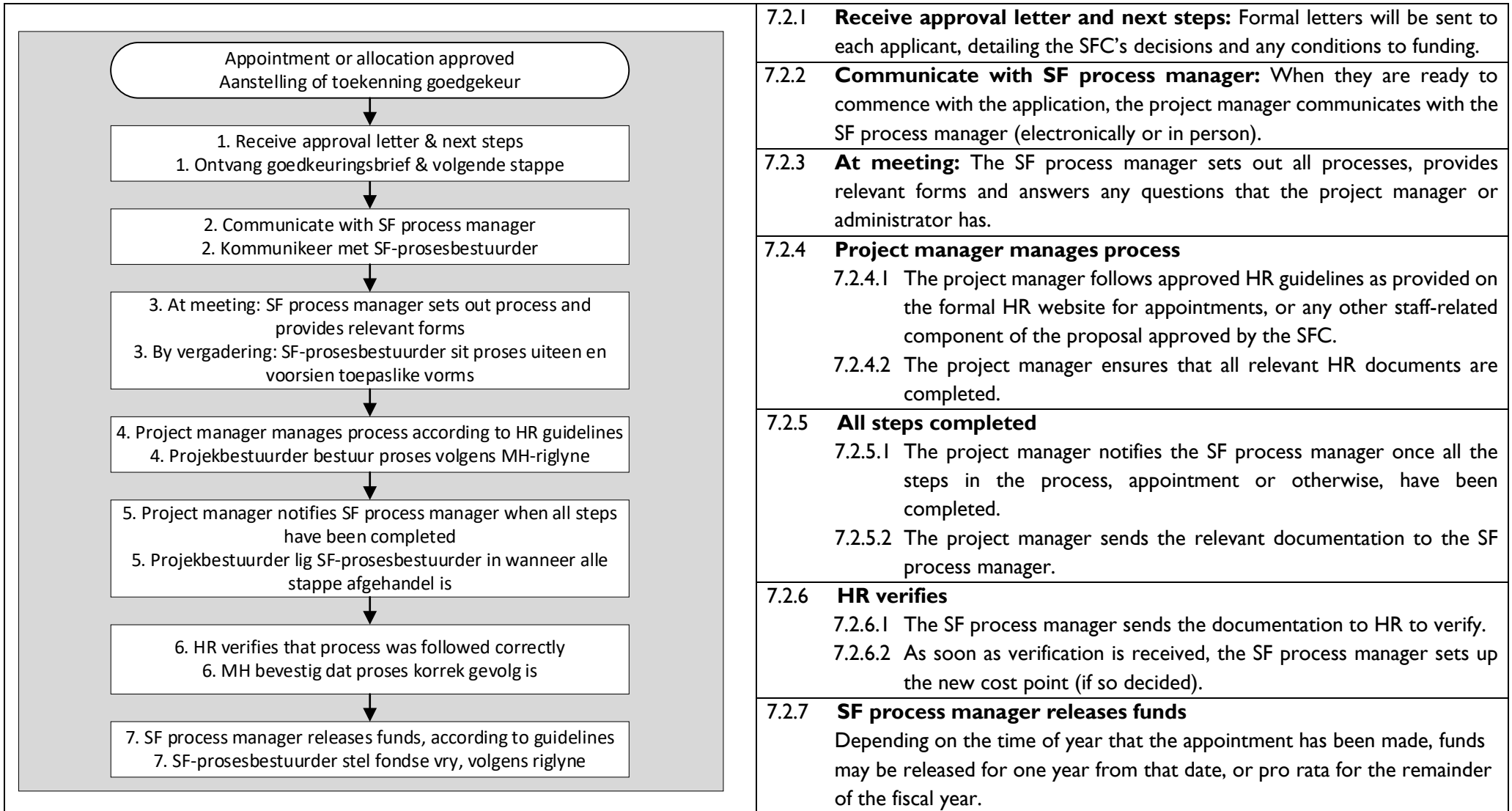
7.1.9 Submit final report

- 7.1.9.1 Once the project is completed, the project manager finalises all project documentation and writes a full report, reflecting the outcome of the project in relation to the initial proposal.
- 7.1.9.2 The project is deemed complete when the SF process manager is satisfied with the accuracy and detail of the full report.

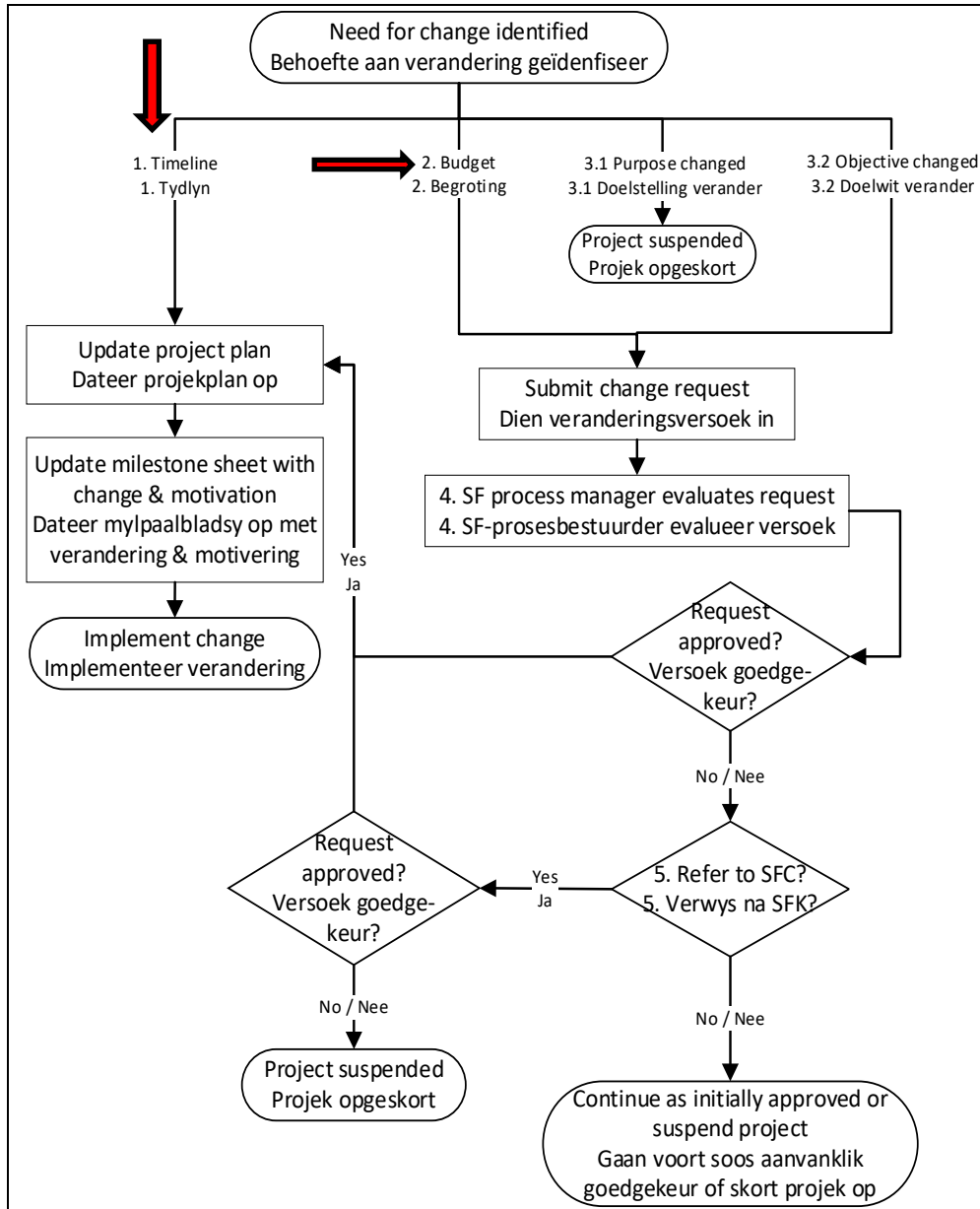
7.1.10 Submit change request

See the change request process.

7.2 Category C: Progress and status



7.3 Categories A, B and C: Change request process



7.3.1 Change to timeline

7.3.1.1 Variation 1: **Timeline of delivery on a specific objective impacted**

Project will not deliver on a **specific objective** according to the timeline provided in the project plan but will do so at an earlier or later date. The project's purpose is not compromised. **Action:** Update the project plan, milestone sheet, budget and/or expenditure sheet, with an explanation in the 'comments' column.

7.3.1.2 Variation 2: **Timeline of projected expenses impacted**

See 7.3.2.1.

7.3.1.3 For changes that will impact the **project's initial purpose**, go to 7.3.3.

7.3.2 Change to budget

7.3.2.1 Variation 1: **Timeline of projected expenses impacted, not budgetary item**

7.3.2.1.1 Funds will be spent **later** than planned. **Action:** Indicate it on the milestone sheet, with an explanation in the 'comments' column.

7.3.2.1.2 Funds will be spent **earlier** than planned. **Action:** If additional funds are required, request a transfer of funds from the SF process manager.

7.3.2.1.3 **Category C:** Since funds are only released once the appointment has been made, change requests are not applicable.

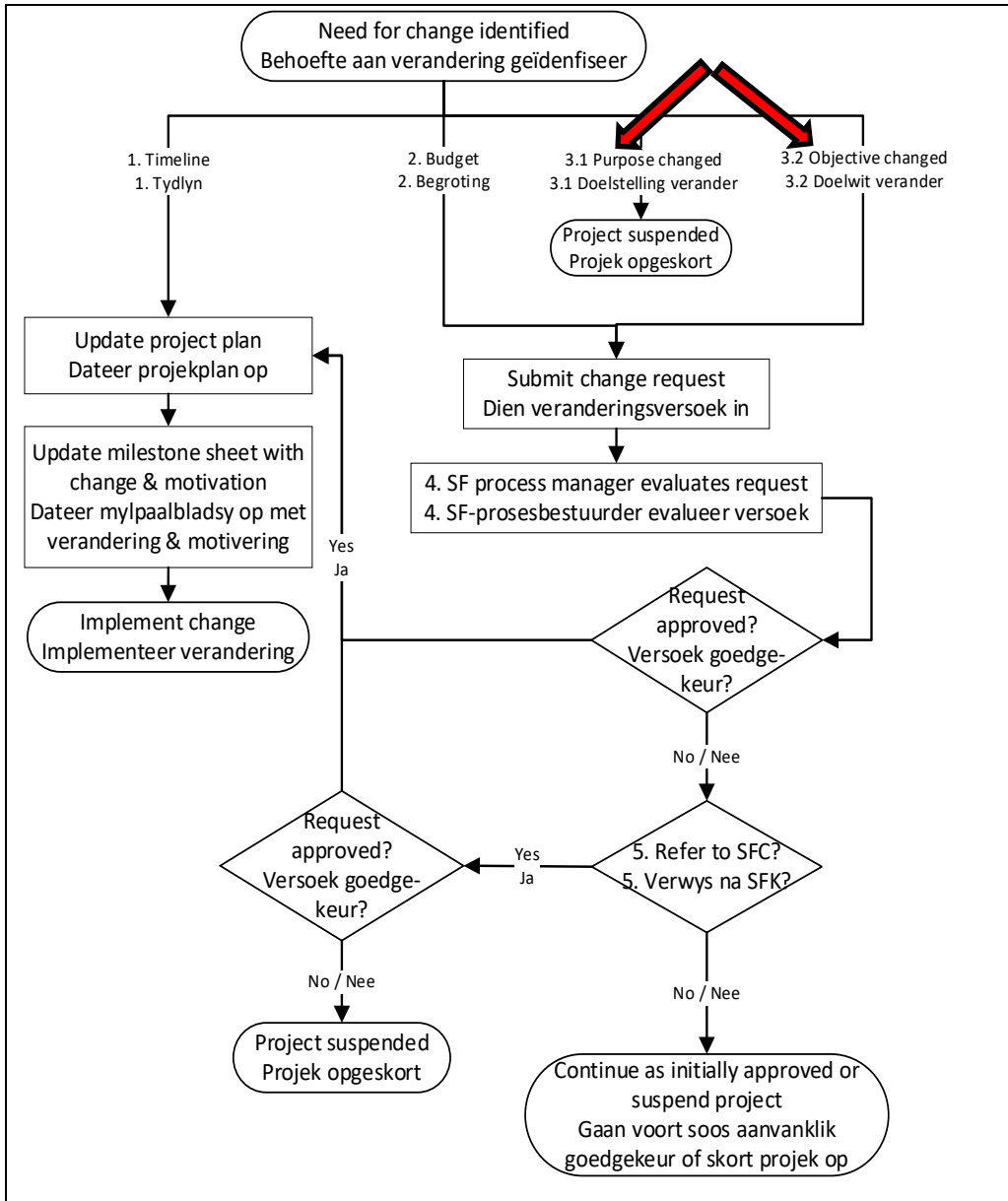
7.3.2.2 Variation 2: Request movement of funds **between different line items**

7.3.2.2.1 Between different line items in the operational budget (Categories A and B). **Action:** Submit a change request.

7.3.2.2.2 Between remuneration and operations (Categories A and B). **Action:** None. Contrary to main budget principles.

7.3.2.2.3 Between different posts in remuneration (Category C): **Action:** Submit a change request.

7.3.2.3 Variation 3: Request funds for a **new budget item**. **Action:** Submit a change request.



7.3.3 Change to purpose or objectives

7.3.3.1 Variation 1: Change to **project purpose**

7.3.3.1.1 The overall purpose and focus for which the funding was requested, have changed. **Action:** Project is suspended and may be audited to determine lessons learnt. Funds revert to the Strategic Fund. A new project proposal may be submitted at a future Strategic Fund opportunity.

7.3.3.2 Variation 2: Change to **objective(s) within project**

7.3.3.2.1 The overall purpose of the project remains unchanged, but one or more of the objectives has changed. This change may be due to the outcome of another objective or may be in response to changing circumstances. **Action:** Submit a change request.

7.3.3.2.2 Unable to appoint the individual for whose appointment Category C funding was requested (person-specific appointment). **Action:** Appointment suspended. Funds revert to Strategic Fund.

7.3.3.2.3 Unable to appoint at the job level(s) approved in Category C. **Action:** Submit a change request, with the motivation and documentation to prove that the market has been fully tested. Hiring at an alternative job level may only continue if request is approved.

7.3.4 Evaluation of requests

7.3.4.1 The SF process manager evaluates each request against the criteria for that category and responds to the request via e-mail.

7.3.5 Strategic Fund Committee

7.3.5.1 Only in exceptional cases will change requests be referred to the SFC.

7.3.5.2 The SFC can then –

7.3.5.2.1 approve the request,

7.3.5.2.2 approve the request, but with specific conditions, or

7.3.5.2.3 deny the request.

7.3.5.3 If the request is denied –

7.3.5.3.1 the project is suspended, and

7.3.5.3.2 all funds revert to the Strategic Fund.

Addendum A: Category A – Objectives, format, criteria and scoring

Stellenbosch University has aligned its Strategic Fund to focus solely on initiatives that directly support the vision, mission and core strategic themes of the University, as contained in *Vision 2040* and the *Strategic Framework 2019–2024*. There are three categories of funding, i.e. Category A (Strategic Initiatives), Category B (Strategic High-rise and Public Square Projects) and Category C (Strategic Appointments).

This addendum applies to **Category A**, which focuses on **new projects** that may have a significant impact on the University's vision and strategy but are initially not entirely or partially affordable via the normal funding mechanisms and other sources of potential funding. Applications will be considered in two rounds. During both rounds, the Strategic Fund Committee will evaluate the applications according to the criteria set out in the Strategic Fund Regulation.

Proposals may be returned to the applicant without evaluation after a Strategic Fund screening process finds that the submitted proposal:

- does not meet the announced proposal submission deadline date,
- does not meet the eligibility criteria,
- does not include the requested supporting documentation (a checklist will be provided for ease of reference),
- does not have the required institutional approvals, and/or
- contains incomplete sections in the application form.

A.1 Round I

A.1.1 Purpose of Round I

The purpose of Round I is to shortlist applications that demonstrate the best potential to have a significant impact on the University's vision and strategy but are initially not entirely or partially affordable via the normal funding mechanisms and other sources of potential funding. The fund fulfils the role of 'provider of start-up capital' to **new projects** and in exceptional cases also the supplementary role of 'provider of bridging capital'. It is not intended to fully fund any project.

Round I applications will be evaluated by the SFC based on a concise expression of interest, with emphasis on strategic fit. The applications must be evaluated on the merit of the proposals received, not on information provided by committee members during the meeting. The SFC will make recommendations on whether or not the applications will progress to the second and final round of evaluation.

A.1.2 Objectives of Round I

Assessment of the Round I proposal will focus on the following:

A.1.2.1 Whether it is a **new project**.

A.1.2.2 The manner in which the initiative will promote one or more of the **six core strategic themes** of the University and the associated institutional objectives. This should be explained clearly, not only referred to briefly.

A.1.2.3 How well the initiative is integrated in the **environment plans** of the respective departments and faculties, or divisions and RCs. The specific sections of the environment plan(s) relevant to the project should be included in the motivation.

A.1.2.4 Specific, well-defined high-level **objectives**.

A.1.2.5 A **high-level budget** with specific reference to the following:

- Realistic expenditure projections.
- Realistic income projections.
- To what extent the particular environment will co-fund the project.
- The support required from the Strategic Fund.

A.1.2.6 How the **sustainability** of the project will be addressed over time.

A.1.3 Format for Round I

A.1.3.1 The fully completed cover page, as applicable to this round (template provided).

A.1.3.2 A brief executive summary.

A.1.3.3 The expression of interest (maximum ten pages) that focuses on the objectives set out for Round I (A.1.2 above) and on the scorecard for evaluation (A.1.4 below).

A.1.3.4 Note: Please make use of the evaluation category headings on the scorecard to structure the expression of interest.

A.1.4 Table I: Scorecard for evaluating Round I proposals

The scoring below will be used by the SFC to assess individual sections of the Round I proposal submitted by applicants.

	EVALUATION CATEGORY	SCORE			
		0 No information	1 Minimal information	2 Satisfactory information	3 Excellent information
1	Contribution to Vision & Strategy (Weight: 40%)	No information provided.	This is an existing project with references to the themes only. No attempt has been made to motivate the contribution.	This is a new project where some attempt has been made to explain the contribution, but it is not well thought through or well motivated.	This is a new project, with the contribution well thought through and well motivated. It addresses a crucial knowledge gap or strategic opportunity. Most of the core strategic themes will be impacted by the project.
2	Integration in environment plan (Weight: 5%)	No information provided.	There are references to the environment plan, but no further information.	A high-level explanation is provided regarding the integration, but information is incomplete.	Integration is well thought through and well explained, with reference to specific sections in the environment plans.
3	Objectives (Weight: 15%)	No information provided.	Objectives are vague and not well defined.	Objectives are defined, but not all the SMART principles have been applied.	Objectives are clear and specific, defined according to SMART principles.
4	Budget: Expenditure (Weight: 10%)	No information provided.	The high-level budget is incomplete and requires significant revision.	The high-level budget is relatively detailed but has a limited number of omissions that require revision.	The high-level budget is complete, detailed and reasonable, considering the proposed objectives. It takes risk factors into consideration.
5	Budget: Income (Weight: 10%)	No information provided.	The proposal will not generate an income or has not provided sufficient information to enable a fair evaluation.	The proposal indicates some potential to generate income, but it may not be completely realistic.	The proposal's potential to generate income is demonstrated clearly and is realistic.
6	Budget: Co-funding (Weight: 10%)	No information provided.	The division makes no financial contribution to the project or gives no indication of co-funding.	The division's financial contribution to the project is less than the amount requested from the SF.	The division's financial contribution to the project is equal to or more than that of the SF.
7	Sustainability (Weight: 10%)	No information provided.	The project will not be sustainable and will always require additional	The project may eventually be sustainable but will require ideal	The project will be fully sustainable and requires just the SF contribution to

			support.	circumstances to achieve and maintain this.	achieve and maintain this.
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A.2 Round 2

A.2.1 Purpose of Round 2

Round 2 will award funding to the successful applicant. The SFC will evaluate the full project plan against Round 2 evaluation objectives. The applications must be evaluated on the merit of the proposals received, not on information provided by committee members during the meeting.

A.2.2 Objectives of Round 2

The objective of Round 2 is to evaluate the full proposal and project plan, as it expands on the Round 1 proposal and responds to any recommendations from the SFC. This will include determining the following:

- A.2.2.1** Are the **final business case and project plan** well laid out, clear and concise?
- A.2.2.2** **Objectives, actions and milestones.** Is it well defined according to SMART principles?
- A.2.2.3** **Timelines.** Are they realistic and achievable?
- A.2.2.4** The **budget.** Is it detailed and realistic? Does it include the following?
 - Projected statements of income streams.
 - Projected expenditure.
 - Clear indication of how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.
- A.2.2.5** **Human resources.** Is it clearly indicated, including how it will impact on the environment's Personnel Plan?
- A.2.2.6** Have **responsibilities and accountabilities** been clearly defined?
- A.2.2.7** Has the **impact on services**, such as IT, facilities, etc. been determined and signed off by the environment(s) concerned?
- A.2.2.8** Have **key risks** been identified, with associated contingency planning to address the risks? (Consider the SU Risk Management Framework and supporting policies.)
- A.2.2.9** Have **monitoring and evaluation** indicators been identified and defined that will be used to evaluate progress and outcomes?
- A.2.2.10** Is the proposal **supported** by the RC head or dean to whom the applicant reports?

A.2.3 Format for Round 2

A.2.3.1 The fully completed cover page, as applicable to this round (template provided).

A.2.3.2 A brief executive summary.

A.2.3.3 A full project plan that focuses on the objectives set out for Round 2 (A.2.2 above) and on the scorecard for evaluation (A.2.4 below).

A.2.3.4 Note: Please make use of the evaluation category headings on the scorecard to structure the expression of interest.

A.2.4 Table 2: Scorecard for evaluating Round 2 proposals

The SFC will evaluate and score the Round 2 proposals using the criteria detailed in the table below.

EVALUATION CATEGORY		SCORE					
		0 No information	1 Minimal information	2 Partial information	3 Adequate information	4 Good information	5 Excellent information
1.	Business case and project plan (Weight: 15%)	No information provided.	The proposed business case and project plan are unsatisfactory and require comprehensive revision.	The proposed business case and project plan are satisfactory although there are some potential risks that may present high consequences for the programme.	The proposed business case and project plan are good although there are some potential risks that may present significant consequences for the programme.	The proposed business case and project plan are comprehensive.	The proposed business case and project plan are excellent.
2.	Objectives, actions and milestones (Weight: 10%)	No information provided.	Very few objectives and actions are defined. No milestones are identified.	Most objectives and actions are defined, but not all the SMART principles have been applied. No milestones are identified.	Objectives and actions are defined, but not all the SMART principles have been applied. An indication was given of possible milestones.	Objectives and actions are clear and specific, defined according to SMART principles. Some milestones have been identified.	Objectives and actions are clear and specific, defined according to SMART principles. All milestones have been identified.

3.	Timelines (Weight: 5%)	No information provided.	Very few timelines are set out.	Not all the timelines are set out. Not all timelines that are set out, are realistic and achievable.	Most of the timelines are set out, realistic and achievable, but there is little room for error.	All of the timelines are set out. Timelines are mostly realistic and achievable within the timeframe specified.	Timelines are well set out and are realistic and achievable within the timeframe specified. Timelines allow for flexibility.
4.1	Budget overall (Weight: 10%)	No information provided.	The budget section has major omissions or flaws and requires comprehensive revision.	The budget section has a limited number of omissions or flaws that require significant revision.	The budget section is complete, detailed and reasonable, considering the proposed activities and outputs.	The budget section is complete, detailed and reasonable, considering the proposed activities and outputs.	The budget section is complete, detailed and reasonable, considering the proposed activities and outputs.
4.2	Budget: Projected statements of income streams (Weight: 5%)	No information provided.	The budget includes no projected statements of income streams.	The budget attempts to include rudimentary projected statements of income streams.	The budget includes basic, well laid out projected statements of income streams.	The budget includes well thought through and detailed projected statements of income streams.	The budget includes well thought through and detailed projected statements of income streams, with supporting documentation to collaborate.
4.3	Budget: Projected expenditure (Weight: 5%)	No information provided.	The budget includes no projected statements of expenditure.	The budget attempts to include rudimentary projected statements of expenditure.	The budget includes basic, well laid out projected statements of expenditure.	The budget includes well thought through and detailed projected statements of expenditure.	The budget includes well thought through and detailed projected statements of expenditure, with supporting documentation to collaborate.
4.4	Budget: Incorporation into	No information provided.	The budget shows no indication of	The budget attempts to show an indication, albeit	The budget indicates, with reasonable probability and some	The budget clearly indicates, with a reasonable level of	The budget clearly, confidently, and realistically indicates,

	mainstream activities (Weight: 5%)		how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.	vague/unrealistic and with no proof, of how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.	proof, how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.	confidence, using moderate proof, how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.	using definitive proof, how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.
5.	Human resources (Weight: 5%)	No information provided.	There is no indication of human resource requirements, its integration into personnel plans or how the resource structure will function.	There is limited indication of human resource requirements, its integration into personnel plans or how the resource structure will function.	Human resource requirements are indicated, but there is no integration into personnel plans or indication of resource structures.	Human resource requirements are set out clearly and partially integrated into personnel plans.	Human resource requirements are set out clearly and fully integrated into personnel plans.
6.	Responsibilities and accountabilities (Weight: 10%)	No information provided.	Responsibilities and accountabilities have not been defined.	Most of the responsibilities / accountabilities have been defined, but key roles have been omitted.	Most of the responsibilities / accountabilities have been defined, but there are some omissions regarding minor roles.	Responsibilities / accountabilities are defined, but clarity is required regarding some of the roles.	Responsibilities / accountabilities are clearly defined.
7.	Impact on services	No information provided.	Impact on services has not been	The projected impact on some of the services has	The projected impact on services has been defined, but not	The projected impact on services is well defined and	The projected impact on services is well defined and has been

	(Weight: 5%)		defined.	been defined, but there are some key omissions.	discussed with relevant environments.	has been discussed with the relevant environment beforehand. No recommendations are, however, included.	discussed with the relevant environment beforehand. Their recommendations and sign-off are included.
8.1	Risk identification (Weight: 5%)	No information provided.	No risks have been identified.	Some key risks have been overlooked and not all contingency planning for identified risks has been indicated.	Key risks have been identified but limited contingency planning has been indicated.	Key risks are indicated, with associated contingency planning to address most of the risks.	Key risks are indicated, with associated contingency planning to address all the risks.
8.2	Risk acceptance (Weight: 5%)	No information provided.	No indication is given of risk acceptance.	Some risk acceptance is indicated, but there are clear gaps.	Risk acceptance is indicated for most key risks.	Risk acceptance is indicated for all key risks.	Risk acceptance is indicated for all risks, including key risks.
9.	Monitoring and evaluation indicators (Weight: 10%)	No information provided.	No attempt has been made to define monitoring and evaluation indicators.	An attempt has been made to define monitoring and evaluation indicators, but it is not well defined.	Most monitoring and evaluation indicators have been defined, but it is unclear how it will be applied.	The monitoring and evaluation indicators that will be used to evaluate progress and outcomes have been defined and are included.	The monitoring and evaluation indicators that will be used to evaluate progress and outcomes are extensive, have been defined and are included.
10.	RC support (Weight: 5%)	No information provided.	No RC support is indicated.	The RC head signed the proposal, but did not add a motivation.	The proposal is supported by the RC under certain conditions. This is clearly set out in the documentation.	The proposal is supported by the RC, with approvals attached.	The proposal is fully supported by the RC, with approvals and signatures attached.

Addendum B: Category B – Evaluation criteria, format and scoring

Stellenbosch University has aligned its Strategic Fund to focus solely on initiatives that directly support the vision, mission and core strategic themes of the University, as contained in *Vision 2040 and the Strategic Framework 2019–2024*. There are three categories of funding, i.e. Category A (Strategic Initiatives), Category B (Strategic High-rise and Public Square Projects) and Category C (Strategic Appointments).

This addendum applies to **Category B**, which entails large collaborative, trans- and multidisciplinary, cross-faculty research programmes with an excellent potential to uniquely position SU as a global leader within a specific field of research, and which over time will attract significant external research grants and donations. The research programmes support SU's commitment to research and lend focus to the five overarching strategic research areas.

Applications will be considered in two rounds. During Round 1, the Strategic Fund Committee will evaluate the applications according to the criteria set out in the Strategic Fund Regulation. During Round 2, a panel of experts will evaluate the final proposals according to the criteria set out in this addendum. In both rounds, proposals will be assessed on the extent to which they address the requirements of each round and the scientific merit of the submissions. Proposals may be returned to the applicant without evaluation after a Strategic Fund screening process finds that the submitted proposal:

- does not meet the announced proposal submission deadline date,
- does not meet the eligibility criteria,
- does not include the requested supporting documentation,
- does not have the required institutional approvals, and/or
- contains incomplete sections in the application form.

B.1 Round 1

B.1.1 Purpose of Round 1

The purpose of Round 1 is to shortlist applications that demonstrate the best potential to uniquely position SU as a global leader within a specific field of research, and which over time will attract significant external research grants and donations. The shortlisted applications will proceed to the final stage of evaluation (Round 2).

Round 1 applications will be evaluated by the Strategic Fund Committee who will make recommendations on whether or not the applications will progress to the second round of evaluation. The applications must be evaluated on the merit of the proposals received, not on information provided by committee members during the meeting.

B.1.2 Objectives of Round 1

Assessment of the Round 1 proposal will focus on the following.

B.1.2.1 Strategic alignment. The application clearly motivates how it is aligned with Stellenbosch University's *Vision 2040* and the *Strategic Framework 2019–2024* and how the six core strategic themes are supported.

B.1.2.2 Strategic research alignment. The application clearly indicates:

- which (at least) one of the five strategic research areas (umbrella themes) the initiative aligns with.
- how the initiative aligns with national and international research priorities, as illustrated by referencing the relevant national and international strategies and policies.

B.1.2.3 Impact. The application clearly indicates:

- what potential the initiative has to provide SU with a competitive advantage by, for example, comparing it with other similar national and international initiatives; and by illustrating SU's unique position and ability/capacity.
- the potential to uniquely position SU as a global leader within a specific field of research, and which over time will attract significant external research grants and donations.
- the potential impact of the research.

B.1.2.4 Reach

- The initiative is inter- and/or transdisciplinary. (Transdisciplinary research collaboration, where the end users of the research outputs are involved in the design phase of the research project, will be prioritised as it will serve to accelerate the impact of the research undertaken.)
- The initiative shows strong cross-faculty collaboration and has the potential to concentrate existing capacity and resources to enable researchers to collaborate across disciplines and faculties on long-term projects.

B.1.2.5 Human resource development

- The initiative involves a number of fulltime senior SU academics with existing internationally established research records **and** also focuses on the renewal and transformation of SU's research cohort by including young researchers, post-doctoral fellows and postgraduate students.
- One or more of the fulltime SU academics is willing to act as champion(s) for the initiative.

B.1.2.6 The initiative has already gone through an **extensive development process.** This includes:

- Confirmation of buy-in and support of colleagues and leadership in the relevant faculties.
- Confirmation of the scientific merits of the research focus(es) through peer review.
- Confirmation of the interest of external stakeholders/shareholders.
- If the initiative involves the creation of a new entity, the formal institutional establishment of the entity as prescribed by the institutional rules for the creation of academic entities, and approval by the Senate have commenced or are completed.

B.1.2.7 The **business plan**

- The high-level objectives are clearly defined according to SMART principles.
- The high-level budget is realistic and financially sustainable and clearly indicates the potential of the initiative to unlock additional external research grants, contracts and donation opportunities.

B.1.3 Format for Round I

B.1.3.1 The fully completed cover page, as applicable to this round (template provided).

B.1.3.2 A brief executive summary.

B.1.3.3 The expression of interest (maximum ten pages) that focuses on the objectives set out for Round I (B.1.2 above) and on the scorecard for evaluation (B.1.4 below).

B.1.3.4 Note: Please make use of the evaluation category headings on the scorecard to structure the expression of interest.

B.1.4 Table I: Scorecard for evaluating Round I proposals

Assessment of the Round I proposal will not focus on the detailed scientific programme but rather on the technical issues which are indicated in the scorecard below.

	EVALUATION CATEGORY	SCORE			
		0 No information	1 Minimal information	2 Satisfactory	3 Excellent
1	Strategic alignment (SU Vision & Strategy) (Weight: 20%)	No information provided.	This is an existing project with only references to the themes. No attempt has been made to motivate the contribution.	This is a new project, with the contribution to one or more of the University's core strategic themes reasonably well thought through and motivated.	This is a new project, with the contribution to one or more of the University's core strategic themes well thought through and well motivated.
2	Strategic research alignment & impact (Weight: 20%)	No information provided.	The proposal will address a knowledge gap in one of SU's five strategic research areas but makes no contribution to national and international research priorities.	The proposal addresses a knowledge gap in one of SU's five strategic research areas, as well as in national research areas, but will have little impact on international research priorities.	The proposal addresses a crucial knowledge gap in one of SU's five strategic research areas, national research priorities, as well as international research priorities.
3	Reach (Weight: 20%)	No information provided.	The initiative involves more than one discipline and shows no formal cross-faculty collaboration. The proposed collaborations, partnerships and networks to be formed are unsatisfactory and require major revision.	The initiative involves multiple disciplines, has formalised cross-faculty collaboration and has put the necessary institutional structures in place to support the collaboration. The proposed national and	The initiative is fully multi- and trans-disciplinary, has formalised cross-faculty collaboration and has put the necessary institutional structures in place to support the collaboration. The

				international collaborations, partnerships and networks to be formed are good although there are some omissions that may present significant consequences for the programme.	proposed national and international collaborations, partnerships and networks to be formed are outstanding and represent world-leading standards. Collaborators and partners have been identified to develop and maintain excellence in this research area.
4	Human resource development (Weight: 10%)	No information provided.	The initiative involves a fulltime senior SU academic with an existing internationally established research record. The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is unsatisfactory and requires comprehensive revision.	The initiative involves a number of fulltime senior SU academics with existing internationally established research records. The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is realistic although there are some potential risks that may present significant consequences.	The initiative involves a number of fulltime senior SU academics with existing internationally established research records. The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is realistic and achievable within the timeframe.
5	Objectives (Weight: 15%)	No information provided.	Objectives are vague and not well defined.	Objectives are defined, but not all the SMART principles have been applied.	Objectives are clear and specific, defined according to SMART principles.
6	Budget (Weight: 15%)	No information provided.	The proposal has not provided sufficient information to enable a fair evaluation.	The high-level budget is relatively detailed but has a limited number of omissions that require revision. Potential to unlock additional income streams is indicated but not well defined.	The high-level budget is complete, detailed and reasonable, considering the proposed objectives. The potential to unlock additional income streams is clear and realistic.

B.2 Round 2

B.2.1 Purpose of Round 2

Round 2 will award funding to the successful applicant. The specialist evaluation panel will evaluate the proposed research programme against Round 2 evaluation objectives.

B.2.2 Objectives of Round 2

The objective of Round 2 is a scientific evaluation of the full proposal. This will include expanding on the proposal for Round 1 by providing more information regarding the following aspects.

B.2.2.1 Strategic research alignment. The application clearly indicates:

- how it is aligned with Stellenbosch University's *Vision 2040* and the *Strategic Framework 2019–2024* and how the six core strategic themes are supported.
- which (at least) one of the five strategic research areas (umbrella themes) the initiative aligns with.
- how the initiative aligns with national and international research priorities, as illustrated by referencing the relevant national and international strategies and policies.

B.2.2.2 Scientific merit. The application clearly indicates that it is highly innovative with novel design and methodologies.

B.2.2.3 Impact. The application clearly indicates:

- what potential the initiative has to provide SU with a competitive advantage by, for example, comparing it with other similar national and international initiatives; and by illustrating SU's unique position and ability/capacity.
- the potential to uniquely position SU as a global leader within a specific field of research, and which over time will attract significant external research grants and donations.
- the potential impact of the research.

B.2.2.4 Reach

- The initiative is inter- and/or transdisciplinary. (Transdisciplinary research collaboration, where the end users of the research outputs are involved in the design phase of the research project, will be prioritised as it will serve to accelerate the impact of the research undertaken.)
- The initiative shows strong cross-faculty collaboration and has the potential to concentrate existing capacity and resources to enable researchers to collaborate across disciplines and faculties on long-term projects.

B.2.2.5 The business plan

- **Overall.** Are the business and project plan clear and concise?
- **Objectives and actions.** Are the objectives and actions well defined according to SMART principles?
- **Timelines.** Are they realistic and achievable?
- **Human resources**

- Have roles and responsibilities been clearly defined?
- Have the fulltime senior SU academics with existing internationally established research records who were identified for this project, accepted these roles?
- Has one of the fulltime SU academics accepted his/her role as champion of the initiative?
- Have these researchers committed themselves to the renewal and transformation of SU's research cohort by including young researchers, post-doctoral fellows and postgraduate students?
- Where relevant, has the impact of these new roles been indicated in the Personnel Plans of environments that may be impacted?
- The **budget**
 - Is it detailed and realistic?
 - Are the projected statements of income streams detailed and realistic?
 - In these income streams, is it clear how additional income streams, e.g. external research grants, contracts and donation opportunities, will be unlocked?
 - Are the projected expenses detailed and realistic?
- Has the **impact on services**, such as IT, facilities, etc. been determined and signed off by the environment(s) concerned?
- Have **key risks** been identified, with associated contingency planning to address the risks? (Consider the SU Risk Management Framework and supporting policies.)
- Have **monitoring and evaluation** indicators been identified and defined that will be used to evaluate progress and outcomes?

B.2.2.6 The **extensive development process** has been finalised. This includes:

- Confirmation of buy-in and support of colleagues and leadership in the relevant faculties.
- Confirmation of the scientific merits of the research focus(es) through peer review.
- Confirmation of the interest of external stakeholders/shareholders.
- If the initiative involves the creation of a new entity, the formal institutional establishment of the entity as prescribed by the institutional rules for the creation of academic entities, and approval by the Senate have commenced or are completed.

B.2.3 **Format for Round 2**

- B.2.3.1 The fully completed cover page, as applicable to this round (template provided).
- B.2.3.2 A brief executive summary.
- B.2.3.3 A full project plan that focuses on the objectives set out for Round 2 (B.2.2 above) and on the scorecard for evaluation (B.2.5 below).
- B.2.3.4 Note: Please make use of the evaluation category headings on the scorecard to structure the expression of interest.

B.2.4 Evaluation panel

B.2.4.1 Evaluation principles

B.2.4.1.1 Confidentiality

All information contained in the submitted documents is treated as confidential. All individuals involved with the evaluation and award process will be bound to confidentiality. Where an evaluator identifies a need to consult with another expert on a specific aspect of a proposal, Stellenbosch University must first be consulted and both the confidentiality of the proposal and anonymity of the applicant and the proposal must be maintained.

B.2.4.1.2 Access to information

Stellenbosch University complies with the Promotion of Access to Information Act, 2000 (Act 2 of 2000) (PAIA). SU will keep a signed written record of panel consensus and a written record of evaluation panel meetings.

B.2.4.1.3 Conflict of interest

In facilitating a fair and unbiased evaluation process, Stellenbosch University requires all individuals involved in the evaluation processes to declare any personal and/or professional interests in applications under evaluation. This will enable SU to identify and manage any conflicts of interest.

A potential conflict of interest may arise where the evaluator is based in the same department or institution as the applicant(s). An absolute conflict of interest is considered to arise where the evaluator is a close friend or is closely related to the applicant(s), is directly involved in the work the applicant proposes to carry out, or where the co-applicant(s) or project partner(s) is working closely with the evaluator, for example as a co-author or as a co-supervisor for a postgraduate degree, or has done so in recent years.

In a case of declared conflict of interest with a proposal(s), the individual is released from assessing the specific proposal(s) and requested to recuse him-/herself from the discussion of the specific proposal(s).

B.2.4.1.4 Ethical consideration

The evaluation process relies on the integrity and accountability of evaluators. Evaluators will be selected based on their expertise relating to one or more aspects of the proposal(s) under evaluation. However, evaluators must also be aware of subtle biases that could influence their judgment and recommendations, and must always ensure impartiality.

B.2.4.1.5 Transparency

The evaluation process and the criteria for assessing proposals are made public to the research community through this framework document. The names of the evaluation panel members and of the adjudication panel members will also be made available at the end of the award and approval process.

B.2.4.2 Venue

Evaluation panel meetings will take place at the Stellenbosch University main campus, at a venue indicated by SU, or online, on a platform identified by SU.

B.2.4.3 Panel composition

The credibility and quality of the evaluation process depend on the integrity, expertise and experience of the evaluators. Evaluation panels will be constituted based on the relevance of their area of expertise to the applications. Members of the SFC will be requested to nominate potential members.

Each panel will comprise the following participants:

- A chairperson
- Subject experts
- Secretariat
- A scribe

B.2.4.4 Role of evaluation panel members

B.2.4.4.1 Panel chairperson

The panel chairperson will be an individual of acknowledged credibility and authority who commands respect within the University. The chairperson must have research and management experience and be well versed in facilitation methods, such as dealing with points of dispute that may arise during the panel meeting. The chairperson will be responsible for overseeing and providing leadership during the evaluation and will play a role in developing a sense of common purpose amongst the panel members. During the entire course of the panel deliberations, the chairperson will ensure that panel members are mindful of and observe the following:

- The context and focus of the evaluation against the background of Category B objectives.
- The code of conduct and procedures applicable to the evaluation process.
- The roles and responsibilities of the panel members.

In addition, the chairperson will facilitate discussions on each application and guide panel members towards a consensus decision in an impartial manner.

B.2.4.4.2 Subject experts

Evaluators will be individuals from broad disciplines covering the area(s) identified for this application. Individuals should have substantial research and/or research management experience and an understanding of the South African higher education environment and Stellenbosch University, and be an expert in the field specific to the application. Furthermore, they will be individuals with no direct association with any of the proposals being evaluated by them.

The role of evaluators will be as follows:

- Provide a quantitative (scoring) as well as detailed qualitative written evaluation of the proposal. Evaluators are required to use the evaluation form provided by SU for evaluating proposals and the scorecard provided for scoring proposals.

- Make a consensus recommendation on whether or not the proposed funding should be awarded.

B.2.4.4.3 Panel secretariat

The secretariat will be the Strategic Fund secretariat. The role of the panel secretariat is to provide the panel chairperson and evaluators with the following support:

- Administrative and logistical support services.
- Preparation of all required evaluation documentation.
- Preparation of a report of the meeting proceedings, in consultation with the scribe.

B.2.4.4.4 Scribe

The scribe will keep verbatim notes of the discussions during panel meetings, record the proceedings and provide a report to SU.

B.2.4.5 Pre-evaluation processes

Panel members will receive all documentation pertaining to a proposal at least two weeks before the panel meeting. They will therefore have adequate time to acquaint themselves with the proposals in preparation to undertake the evaluation.

They will evaluate the documentation and use the scorecard provided to evaluate the proposal. They will then send the results of their evaluation to the panel secretariat who will collate the feedback from the different panel members.

B.2.4.6 Meeting

At the meeting, the chairperson will present the collated feedback to the panel. The panel will discuss the feedback, whereafter they will give a combined score for the proposal. They will tailor their recommendations according to the aspects below.

B.2.4.6.1 Business case and project plan

- Recommended for approval without any revisions.
- Recommended for approval with minor revisions that may be approved electronically by the SFC.
- Not recommended for approval and require major revisions.

B.2.4.6.2 Budget

- Recommended for approval without any revisions.
- Recommended for approval with minor revisions that may be approved electronically by the SFC.
- Not recommended for approval and requires major revisions.

B.2.5 Table 2: Scorecard for Round 2

The evaluators will evaluate and score the Round 2 proposals using the criteria detailed in Table 2 below.

	EVALUATION CATEGORY	SCORE					
		0	1	2	3	4	5
		No information	Nationally uncompetitive	Nationally competitive	Leading nationally, not yet internationally competitive	Internationally competitive, leading nationally	Internationally leading
I	Strategic research alignment (Weight: 10%)	No information provided.	Although the proposal will address a knowledge gap in one of SU's five strategic research areas, it will not contribute to national and international research priorities.	A knowledge gap in one of SU's five strategic research areas is addressed, as well as in national research areas.	The contribution to one or more of SU's core strategic themes is reasonably well thought through and motivated. A knowledge gap in one of SU's five strategic research areas is addressed, as well as in national research areas, but the project will have little impact on international research priorities.	The contribution to one or more of SU's core strategic themes is well thought through and motivated. A knowledge gap in one of SU's five strategic research areas is addressed, as well as in national research areas. The project will also have an impact on some international research priorities.	The contribution to one or more of SU's core strategic themes is well thought through and well motivated. The proposal also addresses a crucial knowledge gap in one of SU's five strategic research areas, national research priorities, as well as international research priorities.

2	Scientific merit (Weight: 10%)	No information provided.	The proposed research programme has major omissions and requires comprehensive revision.	The proposed research programme is original with sound methodologies but has some flaws or omissions that require significant revision.	The proposed research programme is original with robust design and methodologies.	The proposed research programme is innovative with novel design and robust methodologies.	The proposed research programme is highly innovative with novel design and robust methodologies.
3	Impact (Weight: 5%)	No information provided.	The research programme addresses potentially worthwhile scientific questions but requires comprehensive revision. There is a low probability for producing scientific innovations or for social or economic benefits.	The research programme addresses worthwhile scientific questions. The research outputs have a moderate potential for scientific innovations or for social or economic benefits.	The research programme addresses a knowledge gap in South Africa and will be a useful resource. The research outputs have a reasonable potential for scientific innovations or for social or economic benefits.	The research programme addresses a crucial knowledge gap and will be a unique resource in South Africa. The research outputs have a high potential for scientific innovations or for social or economic benefits. The research outputs position SU nationally as the expert in the particular field.	The research programme addresses a crucial knowledge gap and will be an internationally unique resource in the discipline. The research outputs have a high potential for scientific innovations or for social or economic benefits. The research outputs position SU nationally and internationally as the expert in the particular field.
4	Reach (Weight: 5%)	No information provided.	The initiative involves more than one discipline and shows no formal cross-faculty collaboration.	The initiative involves multiple disciplines and shows formal cross-faculty collaboration between at least three faculties.	The initiative involves multiple disciplines, has formalised cross-faculty collaboration between three to five faculties	The initiative is multi- and transdisciplinary, has formalised cross-faculty collaboration between five to seven faculties and has put the	The initiative is fully multi- and transdisciplinary, has formalised cross-faculty collaboration between eight or more faculties

			The proposed collaborations, partnerships and networks to be formed are unsatisfactory and require major revision.	The proposed collaborations, partnerships and networks to be formed are satisfactory although there are some omissions that may present high consequences for the programme and that must be addressed.	and has put the necessary institutional structures in place to support the collaboration. The proposed national and international collaborations, partnerships and networks to be formed are good although there are some omissions that may present significant consequences for the programme and that the director is advised to bear in mind.	necessary institutional structures in place to support the collaboration. The proposed national and international collaborations, partnerships and networks to be formed are comprehensive. Some collaborators and partners have already been identified to develop and maintain excellence in this research area.	and has put the necessary institutional structures in place to support the collaboration. The proposed national and international collaborations, partnerships and networks to be formed are outstanding and represent world-leading standards. Collaborators and partners have been identified to develop and maintain excellence in this research area.
5	Business and project plan overall (Weight: 10%)	No information provided.	The proposed business case and project plan are unsatisfactory and require comprehensive revision.	The proposed business case and project plan are satisfactory although there are some potential risks that may present high consequences for the programme.	The proposed business case and project plan are good although there are some potential risks that may present significant consequences for the programme.	The proposed business case and project plan are comprehensive.	The proposed business case and project plan are outstanding.

6	Objectives and actions (Weight: 5%)	No information provided.	Very few objectives and actions are defined.	Most objectives and actions are defined, but not all the SMART principles have been applied.	Objectives and actions are defined, but not all the SMART principles have been applied.	Objectives and actions are clear and specific, defined according to SMART principles.	Objectives and actions are clear and specific, defined according to SMART principles.
7	Timelines (Weight: 5%)	No information provided.	Very few timelines are set out.	Not all the timelines are set out. Not all timelines that are set out, are realistic and achievable.	Most of the timelines are set out, realistic and achievable, but there is little room for error.	All of the timelines are set out. Timelines are mostly realistic and achievable within the timeframe specified.	Timelines are well set out and are realistic and achievable within the timeframe specified. Timelines allow for flexibility.
8	Human resources (Weight: 5%)	No information provided.	The initiative involves a fulltime senior SU academic with an existing internationally established research record. No responsibilities / accountabilities have been defined. The staff plan has no information on how the resource structure will function across faculty and/or departmental lines.	The initiative involves between two and four fulltime senior SU academics with existing internationally established research records. Most of the responsibilities / accountabilities have been defined. The staff plan has limited information on how the resource structure will function across faculty and/or departmental lines.	The initiative involves a number of fulltime senior SU academics with existing internationally established research records. Most of the responsibilities / accountabilities have been defined. The staff plan indicates how the resource structure will function across faculty and/or departmental lines, but there is	The initiative involves a number of fulltime senior SU academics with existing internationally established research records. Responsibilities / accountabilities are clearly defined. The staff plan clearly indicates how the resource structure will function across faculty and/or departmental lines.	The initiative involves a number of fulltime senior SU academics with existing internationally established research records. Responsibilities / accountabilities are clearly defined. The staff plan clearly indicates how the resource structure will function across faculty and/or departmental lines.

			The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is unsatisfactory and requires comprehensive revision.	The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is satisfactory although there are some potential risks that may present high consequences.	still some uncertainty as to the structure. The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is realistic although there are some potential risks that may present significant consequences.	The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is realistic and achievable within the timeframe. There are low-probability risks that can be managed and that present moderate consequences.	The proposed human resource development plan for training master's and doctoral students and post-doctoral fellows is realistic and achievable within the timeframe. There are low-probability risks that can be managed and that present negligible consequences.
9	Budget overall (Weight: 10%)	No information provided.	The budget section has major omissions or flaws and requires comprehensive revision.	The budget section has a limited number of omissions or flaws that require significant revision.	The budget section is complete, detailed and reasonable, considering the proposed activities and outputs.	The budget section is complete, detailed and reasonable, considering the proposed activities and outputs.	The budget section is complete, detailed and reasonable, considering the proposed activities and outputs.
10.1	Budget: Projected statements of income streams (Weight: 5%)	No information provided.	No indication is given of projected income streams.	Some indication is given of projected income streams, but there are significant omissions.	The budget includes projected statements of income streams.	The budget includes projected statements of income streams. Other sources of research funding are available.	The budget includes projected statements of income streams. Other sources of research funding are available.

						Overall, there is the potential for significant return on investment.	Overall, there is the potential for significant return on investment. It is viable and financially sustainable and demonstrates that it will have a significant acceleration effect to unlock additional external research grants, contracts and donation opportunities.
10.2	Budget: Projected expenditure (Weight: 5%)	No information provided.	No indication is given of projected expenditure.	Some indication is given of projected expenditure, but there are significant omissions.	The budget includes projected statements of expenditure.	The budget includes projected statements of expenditure.	The budget includes projected statements of expenditure.
10.3	Budget: Incorporation into mainstream activities (Weight: 5%)	No information provided.	No indication is given of incorporation into mainstream activities.	Some indication is given of incorporation into mainstream activities.	The budget clearly indicates how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.	The budget clearly indicates how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.	The budget clearly indicates how and when the financial obligations will be incorporated as part of the mainstream activities of the environment concerned via the normal funding mechanisms.

I1	Impact on services (Weight: 5%)	No information provided.	Impact on services has not been defined.	The projected impact on some of the services has been defined, but there are some key omissions.	The projected impact on services has been defined, but not discussed with relevant environments.	The projected impact on services is well defined and has been discussed with the relevant environment beforehand. No recommendations are however included.	The projected impact on services is well defined and has been discussed with the relevant environment beforehand. Their recommendations and sign-off are included.
12.1	Risk identification (Weight: 5%)	No information provided.	No risks have been identified.	Some key risks have been overlooked and not all contingency planning for identified risks has been indicated.	Key risks have been identified but limited contingency planning has been indicated.	Key risks are indicated, with associated contingency planning to address most of the risks.	Key risks are indicated, with associated contingency planning to address the risks.
12.2	Risk acceptance (Weight: 5%)	No information provided.	No indication is given of risk acceptance.	Some risk acceptance is indicated, but there are clear gaps.	Risk acceptance is indicated for most key risks.	Risk acceptance is indicated for all key risks.	Risk acceptance is indicated for all risks, including key risks.
13	Monitoring and evaluation indicators (Weight: 5%)	No information provided.	No attempt has been made to define monitoring and evaluation indicators.	An attempt has been made to define monitoring and evaluation indicators, but it is not well defined.	Most monitoring and evaluation indicators have been defined, but it is unclear how it will be applied.	The monitoring and evaluation indicators that will be used to evaluate progress and outcomes have been defined and are included.	The monitoring and evaluation indicators that will be used to evaluate progress and outcomes are extensive, have been defined and are included.

Addendum C: Category C.1.1 – Evaluation criteria, format and scoring

Stellenbosch University has aligned its Strategic Fund to focus solely on initiatives that directly support the vision, mission and core strategic themes of the University, as contained in *Vision 2040* and the *Strategic Framework 2019–2024*. There are three categories of funding, i.e. Category A (Strategic Initiatives), Category B (Strategic High-rise and Public Square Projects) and Category C (Strategic Appointments).

This addendum applies to **Category C.1.1**, which focuses on achieving and accelerating **diversity** at all levels **and/or** to make **targeted, strategic appointments** within specific environments. The Strategic Fund Committee will evaluate the applications according to the criteria set out in the Strategic Fund Regulation.

C.1 Purpose of C.1.1 applications

Category C.1.1 involves applications for the funding of staff costs for **strategic appointments in specific environments** in the short term (**maximum three years**) until the defrayment can be included in the environment's **Personnel Plan**. The source of funds is the percentage allocation agreed upon for the Strategic Fund. Applications will be evaluated by the SFC, who will award funding to the successful applicant.

Funding will be released once the appointment has been finalised, effective from the starting date of employment, and may only be utilised as approved by the SFC. Any unused funds revert to the Strategic Fund. If funding was obtained for the appointment of a specific person, the funds revert to the Strategic Fund if the person does not take up the position or resigns at any point during the funding period.

C.2 Objectives with and conditions of C.1.1 applications

C.2.1 Targeted strategic appointments (job levels 2-6)

- C.2.1.1 The committee does not decide on employability and all appointments will continue to follow the normal SU approval routes.
- C.2.1.2 The allocated amount will usually be based on the basic remuneration levels (BRL) for the relevant post level at which the appointment takes place.
- C.2.1.3 An allocation can be made for a maximum of three years. If the allocation runs over more than one year, the amount allocated by the committee will be increased annually in line with SU's general annual remuneration adjustments. These calculations must be included in the application, after being verified by Human Resources. It must include overhead costs.
- C.2.1.4 The relevant environment must explicitly show how the appointment fits into the context of their Personnel Plan and Succession Plan.
- C.2.1.5 The relevant environment must explicitly show how the costs related to these appointments will be absorbed within the normal environment budget after the period of central funding has lapsed.
- C.2.1.6 A specific candidate and position cannot benefit more than once from the Strategic Fund.

C.2.2 Achieving and accelerating diversity (all post levels) through –

- C.2.2.1 strategic **recruitment** actions in respect of vacancies with the specific aim of recruiting suitable candidates from designated groups, with specific reference to BCIA and disability candidates (please refer to the Employment Equity Policy and Code for Employment Equity and Diversity, as found on the Human Resources website).
- C.2.2.2 partial or full defrayment of **appointment** of staff (as defined in C.2.2.1), for

a maximum period of three years or partial funding of **promotion** of such staff for a maximum period of three years.

C.2.2.2.1 The committee does not decide on employability or promotability, and all appointments and promotions will continue to follow the normal SU approval routes.

C.2.2.2.2 The allocated amount will usually be based on the BRL for the relevant post level at which the appointment or promotion takes place.

C.2.2.2.3 An allocation can be made for a maximum of three years. If the allocation runs over more than one year, the amount allocated by the committee will be increased annually in line with SU's general annual remuneration adjustments.

C.2.2.2.4 The relevant environment must explicitly show how the appointment or promotion fits into the context of their Personnel Plan and Succession Plan.

C.2.2.2.5 The relevant environment must explicitly show how the costs related to these appointments or promotions will be absorbed within the normal environment budget after the period of central funding has lapsed.

C.2.2.2.6 A specific candidate cannot benefit more than once from the Strategic Fund.

C.2.2.3 **Relocation or settlement costs** of the above-mentioned newly appointed staff.

C.2.2.4 **Development** of the above-mentioned newly appointed staff: All candidates will have access to mentors and/or management coaches, and individualised development programmes will be implemented in conjunction with the Coaching Office, with participation in approved external development programmes that may be funded by the Strategic Fund.

C.3 Format for C.1.1 applications

C.3.1 The fully completed cover page, as applicable to this category (template provided).

C.3.2 A brief executive summary that clearly sets out the focus of the application, according to C.2 above.

C.3.3 A motivation for the application. This must include:

- Why this is a critical appointment or promotion for the division.
- Why the appointment or promotion cannot be funded by the division itself.
- Post level.
- Expected remuneration. Please note:
 - First verify the BRL and overhead costs for the position with your Human Resources practitioner.
 - Then make sure that, when deciding on the appointment schedule, you take HR processes and timelines into consideration and that your budget request is in line with this timeline.
- Co-funding by the division.

C.3.4 The following documentation must be referenced:

- A job description according to the Human Resources standard for job advertisements.
- The current Personnel Plan of the environment and how the appointment or promotion fits into this context.

- The diversity profile of the environment and how the appointment or promotion fits into this context.
- C.3.5 If an individual has been identified for the position, also provide the following:
- Biographic detail
 - CV
- C.3.6 Confirmation of support by relevant RC head or dean.

C.4 Table I: Scorecard for C.I.I proposals

The scoring below will be used by the SFC to assess individual sections of the proposal submitted by applicants.

	EVALUATION CATEGORY	SCORE			
		0 No information	1 Insufficient information	2 Important	3 Critical
1	Motivation (Weight: 30%)	No information provided.	The information provided is not sufficient to make an informed decision.	The information provided is sufficient to understand the reason for the application and to make an informed decision.	The information provided clearly illustrates why the application was submitted to the SF and how it supports the SF objectives.
2	Impact of the role (Weight: 30%)	No information provided.	Little or no attempt has been made to clarify the role within the environment	The role is well defined and its importance within the environment is clear.	The role is well defined and clearly demonstrates knowledge and skills critical to the environment.
3	Integration in personnel plan and budget (Weight: 15%)	No information provided.	Little or no attempt has been made to indicate the integration of the position in the personnel plan and budget.	A high-level explanation is provided regarding the integration in the personnel plan and budget.	Integration in the personnel plan and budget is well thought through and well explained.
4	Diversity profile (Weight: 15%)	No information provided.	Little or no information has been provided.	The diversity profile of the environment has been provided.	The position is contextualised within the diversity profile of the environment.
5	Co-funding (Weight: 10%)	No information provided.	The division makes no contribution to the position.	The division contributes the operational budget associated with this position.	The division contributes to the operational budget and also contributes to remuneration.

Addendum D: Category C1.2 – Evaluation criteria, format and scoring

Stellenbosch University has aligned its Strategic Fund to focus solely on initiatives that directly support the vision, mission and core strategic themes of the University, as contained in *Vision 2040* and *the Strategic Framework 2019–2024*. There are three categories of funding, i.e. Category A (Strategic Initiatives), Category B (Strategic High-rise and Public Square Projects) and Category C (Strategic Appointments).

This addendum applies to **Category C.1.2**, which focuses on providing ad hoc, short-term support (maximum three years) to retain existing staff when the individual is offered a position at a different institution and additional funds are not available due to the urgent nature of the situation. Human Resources and Finance will evaluate the applications according to the criteria set out in the Strategic Fund Regulation, whereafter the Rectorate will make the final decision.

D.1 Purpose of C.1.2 applications

Category C.1.2 involves applications for providing ad hoc, short-term support (maximum three years) to retain existing staff when the individual is offered a position at a different institution and additional funds are not available due to the urgent nature of the situation. The defrayment of the additional funds must however be included in the environment's Personnel Plan and remuneration budget within the timeframe agreed (from one month to a maximum of three years). The source of funds is the percentage allocation agreed upon for the Strategic Fund.

Applications will be evaluated by Human Resources (to ensure that the request falls within HR guidelines) and Finance (to ensure that the applying division has no alternative sources of funding). They will also recommend for which period funding should be made available. Their recommendation will be submitted to the Rectorate for final approval.

Funding will be released as agreed during the evaluation period and may only be utilised as approved by the Rectorate. Any unused funds revert to the Strategic Fund.

D.2 Objectives with and conditions of C1.2 applications

- D.2.1 Assisting with the retention of existing talented and high-performance staff members when they receive offers from other institutions and would prefer to remain at Stellenbosch University. The offer must be official and made in writing.
- D.2.2 Assisting environments in adapting their remuneration budgets to address the retention of staff by providing bridging funding for a limited period. For this purpose, the relevant environment must explicitly show how the position and the specific individual fits into the context of their Personnel Plan and Succession Plan and how the related funding will be absorbed within the normal environment budget after the period of central funding has lapsed.
- D.2.3 The merit of the request, i.e. whether the staff member is in fact a high-performance staff member, will be determined by evaluating previous performance.

D.3 Format for C.1.2 applications

- D.3.1 The fully completed cover page, as applicable to this category (template provided).
- D.3.2 A brief executive summary that clearly sets out the focus of the application, according to D.2 above.
- D.3.3 A motivation for the application. This must include:
 - Why this is urgent.
 - Why it is critical that the University retains this individual.
 - The amount required.
 - Why the additional funding required cannot be provided by the division itself.
 - Post level.
- D.3.4 The following documentation must be referenced:
 - The current Personnel Plan of the environment and how the position fits into this context.
 - The diversity profile of the environment and how the position fits into this context.
 - Biographic detail of the individual.
 - Past performance ratings.
- D.3.5 Confirmation of support by:
 - Human Resources
 - Finance
 - Relevant RC head or dean.

Addendum E: Category C.2 – Evaluation criteria and format

Stellenbosch University has aligned its Strategic Fund to focus solely on initiatives that directly support the vision, mission and core strategic themes of the University, as contained in *Vision 2040* and the *Strategic Framework 2019–2024*. There are three categories of funding, i.e. Category A (Strategic Initiatives), Category B (Strategic High-rise and Public Square Projects) and Category C (Strategic Appointments).

This addendum applies to **Category C.2**, which focuses on **targeted, strategic appointments** that are of strategic benefit to the University as a whole and add value to the University's overall strategic goals. These appointments may be an individual, a team or, if applicable, the partner³ of a key appointment. Applications are initiated by the Rector and are for a specified period, with costs defrayed from additional revenue streams.

E.1 Purpose of C.2 applications

Category C.2 involves applications for the funding of staff costs for targeted strategic appointments that add to the University's overall prestige. These appointments may be an individual, a team, or if applicable, the partner of a key appointment.

These applications are initiated by the Rector and are for a specified period, with costs defrayed from additional revenue streams. The Rectorate will provide input to the Rector, who will then make the final decision.

Funding will only be released once the appointment(s) has been finalised, effective from the starting date of employment, and may only be utilised as approved. Any unused funds, including when an identified candidate decides not to take up the position or resigns, revert to the Strategic Fund.

E.2 Objectives with C.2 applications

C.2 applications seek to enable the University to make use of unique opportunities to make senior appointments that:

- E.2.1 add significantly to the University's prestige.
- E.2.2 significantly enhances specific strategic and institutional objectives.
- E.2.3 significantly contributes to the realisation of one or more of the University's six core strategic themes.

E.3 Conditions

- E.3.1 The Rector may initiate the process himself or may be made aware of an opportunity by an RC head, dean, or chief/senior director. The formal application process will then commence (see E.5 below).
- E.3.2 Candidates must be appointable according to standard SU guidelines. These guidelines must be verified by the applicant as part of the application and appointment process.
- E.3.3 The period of appointment and conditions, if any, must be clearly defined during the application and appointment process.
- E.3.4 In the case of a partner, his/her training, skills and experience must be deemed beneficial to the University in the field of academia or the professional academic and administrative

³ "Partner" means a spouse or lifelong partner.

support services. The position can either be an existing, vacant position or a new position that has been created for a fixed period.

- E.3.5 If an allocation is made for more than three years, the annual salary increase will be determined during the initial application process.
- E.3.6 A specific candidate cannot benefit more than once from the Strategic Fund.
- E.3.7 The overall request may include operational costs. These costs must be clearly specified and budgeted according to SU financial guidelines.

E.4 Format for C.2 applications

- E.4.1 The fully completed cover page, as applicable to this category (template provided).
- E.4.2 A brief executive summary that clearly sets out how the objectives in E.2 are supported.
- E.4.3 The contribution that this individual and/or team will make. This may include a financial contribution by the individual and/or team.
- E.4.4 Biographic detail of the individual and/or team members (if applicable).
- E.4.5 CV of the individual and/or each team member (if applicable).
- E.4.6 Post level per candidate.
- E.4.7 Expected remuneration per candidate.
- E.4.8 Please note:
 - Determine whether there are specific guidelines to follow regarding this appointment(s).
 - Ensure that, when deciding on the appointment schedule, HR processes and timelines are taken into consideration and that budget requests are in line with this timeline.

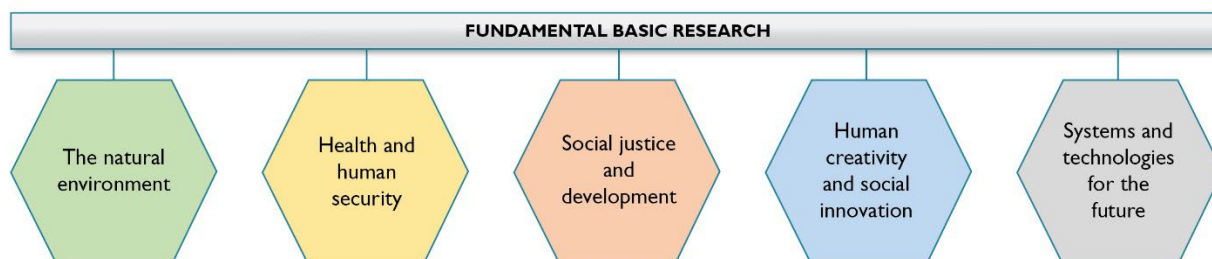
E.5 Process for C.2 applications

- E.5.1 The Rector identifies an opportunity or is approached by an RC head or dean regarding a potential opportunity.
- E.5.2 The Rector delegates the responsibility to prepare the necessary documentation as a matter of urgency.
- E.5.3 Documentation is submitted to the secretariat of the Strategic Fund who verifies all documentation and convenes an urgent meeting. This meeting may coincide with a SFC meeting, may follow directly after a scheduled Rectorate meeting, or may be convened specifically for this purpose, depending on the urgency of the appointment.
- E.5.4 The Rectorate meets to discuss the opportunity and advise the Rector.
- E.5.5 The Rector makes the final decision.
- E.5.6 The Strategic Fund secretariat conveys the decision and next steps to the applicant.

Addendum F: Overarching strategic research areas

First level: Strategic Research Areas

Five inclusive overarching (umbrella) areas have been chosen to broadly describe and market SU's research. The following five areas have emerged (with the deliberate inclusion of the basic and fundamental research backbone in this illustration).



Second level: Collaborative Research Entities

Institutional investments will be made to strengthen and develop existing and emerging 'high-rises' and 'public squares' (as per the second analogy) under each of the five broad umbrella areas.

The high-rises in SU's research cityscape will be large, collaborative transdisciplinary, cross-faculty research initiatives, with an excellent potential to uniquely position SU as globally leading in a particular research area and to attract significant external research grants and donations over time. The Strategic Fund will be used for the establishment of new high-rises, or the maintenance and strengthening of existing entities of strategic importance to SU.

Strategic Fund investments will also serve to promote new cross-faculty collaborations – the so-called public squares – aimed at promoting new interdisciplinary and cross-faculty research collaboration through the provision of facilitation and seed funding. These could become high-rises in the future.

Purpose of SU Strategic Research Areas

The purpose of developing this framework of SU Research Directions is two-fold:

1. At the first level (the analogy of inclusive umbrellas applies here), the purpose is to be able to market/package the full spectrum of SU's existing and emerging research strengths when explaining the SU research portfolio to potential funders, donors, collaborators, postdocs and students. This level of information will give the first indication of SU's strategy, uniqueness and competitive advantage, but needs to be populated by the detail of existing and new research strengths under each umbrella (i.e., the large collaborative groups as well as individual researchers whose research serves to uniquely position SU in the national and international landscape).
2. At the second level (the analogy of high-rises and public squares in a city), the purpose is the stimulation of new transdisciplinary and cross-faculty research collaboration to form more focused initiatives in order to enrich and strengthen SU's research endeavour. New initiatives created through this process will stand alongside a large number of existing examples. It is at this level where the uniqueness and competitive advantages of SU's research offering will be particularly emphasised.

Both of these levels will be further supported through SU's continued and unequivocal support for the basic and fundamental disciplines and research.