



**SOUTH AFRICAN NATIONAL ANTARCTIC PROGRAMME
(SANAP)**

KNOWLEDGE ADVANCEMENT AND SUPPORT

Framework Document

APRIL 2023

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LIST OF ACRONYMS

DFFE	Department of Forestry, Fisheries, and the Environment
DSI	Department of Science and Innovation
FCS	Full Cost of Study
GMSA	Grant Management and Systems Administration
ISFAP	Ikusasa Student Financial Aid Programme
KAS	Knowledge Advancement and Support
NRF	National Research Foundation
PCS	Partial Cost of Study
PI	Principal Investigator
RE	Reviews and Evaluation
RISA	Research and Innovation Support and Advancement
SAEON	South African Environmental Observation Network
SANAE	South African National Antarctic Expedition
SANAP	South African National Antarctic Programme
SAPRI	South African Polar Research Infrastructure
UID	Unique Identifier

1 FUNDING INSTRUMENT TITLE AND DESCRIPTION

1.1 Funding instrument title

The South African National Antarctic Programme (SANAP) Funding Instrument

1.2 Funding instrument description

SANAP is a **region-specific, theme-driven** funding instrument which supports research in the Southern Ocean, including the Prince Edward Islands and Antarctica.

As a competitive funding instrument, the chief eligibility criteria are:

- **Research in the geographic region of the Southern Ocean, including the Prince Edward Islands and / or Antarctica**
- **Alignment with the research themes as detailed in the South African Antarctic and Southern Ocean Research Plan (2014-2024)¹**
- **Scientific merit and quality of the research proposal**
- **Evidence of associated human capacity development**

SANAP research addresses the research themes detailed in the South African Antarctic and Southern Ocean Research Plan (2014-2024) and is underpinned by the overarching South African Marine and Antarctic Research Strategy (MARS) of 2015. The Antarctic and Southern Ocean Research Plan (hereafter “the Research Plan”) is focused on an integrative systems approach to understanding the evolution of the earth systems and ecosystems in the 21st Century. The Research Plan provides the overarching framework of operations for SANAP research activities and follows the integrated progression from Earth Systems to Ecosystems to Human Systems in the research themes. Human activities and socio-political complexities in this international arena are of equal importance².

Specific research themes detailed in the Research Plan are:

- **Earth Systems**
- **Living Systems**
- **Human Enterprise**
- **Innovation: Southern Ocean and Antarctic technology and engineering**

¹ This call will support activities under the current Antarctic and Southern Ocean Research Plan (2014-2024)

² The South African Antarctic and Southern Ocean Research Plan (2014-2024)

Social Sciences, Law and Humanities applications are especially encouraged, as are applications addressing innovation. Each research theme has sub-themes, and applicants are strongly encouraged to familiarise themselves with the thematic foci of the Research Plan, as well as with the overall strategic context provided in the MARS (both attached hereto) to ensure that their applications meet the very specific scientific and strategic objectives of this funding instrument.

2 EXECUTIVE SUMMARY

The National Research Foundation (NRF) recognises that for South Africa to be internationally competitive and to meaningfully contribute to the global economy, the country must have the capability to understand the knowledge produced by others. This understanding can best be developed through performing research. Publicly funded basic and applied research is viewed as a source of new ideas, opportunities, methods, and most importantly, the means through which problem solvers can be trained.

The South African Antarctic and Southern Ocean Research Plan (2014-2024) serves to link South Africa's comparative geographic and research advantage, regional stewardship, and national interest considerations to research themes to stimulate systems scale integration of knowledge and understanding. This will not only strengthen South Africa's profile and develop advanced skills, but in so doing will also support the Country's geo-political and citizenship goals in both regional and global dialogues. The importance of South Africa's geographical proximity to Antarctica and its position as a Southern Ocean³ littoral State cannot be overstressed.

South Africa also maintains bases at Marion and Gough Islands, administered by the Department of Forestry, Fisheries, and the Environment, (DFFE). Marion Island and Prince Edward Island together form the Prince Edward Islands Group, annexed by South Africa in 1947. Gough Island is a British protectorate which hosts the South African meteorological station, which operates as part of an agreement between South Africa and the United Kingdom.

The country runs the risk of not fully utilizing or maximizing the benefits from this geographic advantage, owing to a lack of adequate human capital. This includes the risk that that the country may own research platforms and facilities but could be subject to a form of "knowledge colonization" from international quarters, many of whom already possess a critical mass of requisite skills. The SANAP is a long-term funding instrument designed to ensure the creation of a demographically balanced Antarctic research programme that strives for internationally competitive research, promotes inter-disciplinarity and creates links with other African countries.

³ This area includes the Prince Edward Islands over which South Africa exercises undisputed sovereignty. The Southern Ocean is defined as the region south of Africa comprising the ocean and the sub-Antarctic Islands up to, and including, the Antarctic Continental Shelf Zone.

3 STRATEGIC CONTEXT

The mandate of the National Research Foundation (NRF) is to support and promote research through funding, human resource development and the provision of the necessary research facilities in order to facilitate the creation of knowledge, and innovation and development in all fields of science and technology, including indigenous knowledge, supporting and promoting public awareness of, and engagement with, science and thereby contributing to the improvement of the quality of life of all the people of the Republic (NRF Act, 1998, as amended 2019). Given this mandate, everything that the NRF does, whether in people, research, infrastructure or engaged science, is done to advance the knowledge enterprise for the benefit of society.

3.1 Environmental scan

SANAP resonates with the NRF mandate by promoting and supporting research through funding and the associated human capital development, in so doing being cognisant of the role that research plays in the innovation and the commercialisation value chain, and hence the socio-economic development of the country.

3.2 Objectives

The objectives of the funding instrument are:

- To contribute to knowledge production about Antarctica and the Southern Ocean, including the Prince Edward Islands, in the Natural Science, Social Science and Humanities disciplines;
- To achieve world-class research and the development of the associated human capacity; and
- To advance or develop paradigms, theories and methodological innovation relating to Antarctica and the Southern Ocean, including the Prince Edward Islands

3.3 NRF Perspective

SANAP is a theme-based, demand-driven, geographically defined funding instrument. This is in line with the NRF's view that support for research is an investment in South Africa's learning capabilities. The SANAP directly, and in part, delivers on the NRF mandate to support research across all knowledge fields and disciplines of science, with an understanding that science is interpreted as inclusive of any system of knowledge attained by verifiable means and the organised body of knowledge humans have gained by research⁴. In so doing, the NRF seeks to address the following objectives:

- To promote globally competitive research and innovation;
- Enhance strategic international engagement; and

⁴ The National Research Foundation Act 23 of 1998 (as amended 2019).

- Entrench science engagement

3.4 Institutional structure

By way of the grant management process, the strategic direction, and outcomes of the funding instrument the responsibility of the Knowledge Advancement and Support (KAS) Directorate within the Research and Innovations Support and Advancement (RISA) business unit of the NRF on behalf of the Department of Science and Technology (DSI).

The review process and grant award recommendations are managed by the Reviews and Evaluation (RE) Directorate within RISA. RE is responsible for sourcing postal review reports, selecting panel members, and writing feedback to unsuccessful applicants upon completion of the awards cycle.

The Grant Management and Systems Administration (GMSA) Directorate within RISA is responsible for posting of the research call, managing technical queries, the disbursement of grant funds, and ensuring adherence to the conditions of the grant.

The Department of Forestry, Fisheries and the Environment, (DFFE) is responsible for the provision of appropriate logistics and infrastructure support for the SANAP programme and is also responsible for assessing the Environmental Impact Assessments of all applications. It is **VITAL** that applicants wanting access to Antarctica, Marion Island and/or Gough or the SA Agulhas II at any stage of their research project read the 2023 DFFE Framework document as attached. Please direct any DFFE-related queries to the DFFE as detailed in the framework document.

The South African Polar Research Infrastructure (SAPRI) is hosted by the South African Environmental Observation Network (SAEON) and manage the provision of polar research infrastructure. It is **VITAL** that applicants wanting to access such research infrastructure at any stage of their research project read the 2023 SAPRI Framework document as attached. Please direct any SAPRI-related queries to : Sapri@saeon.nrf.ac.za.

3.5 Financing support

SANAP is made possible through contract funding from the Department of Science and Technology (DSI). The DSI will fund a three-year cycle of research funding from 2024-2026. As a demand-driven funding instrument, there is no limit to the amount an applicant can request. Having said this, the financial requests need to be in line with the requirements of the proposal and should accurately reflect the anticipated needs of the proposed work. Excessive budget requests are not well received by the review panel. Applications will be scored according to a scorecard (see **Annexure 1**), and the top scoring applications will be supported until the available resources are exhausted. The financial requirements of the top scoring applications will determine the final number of applications supported. The key performance indicators of the NRF and the transformation agenda of the country will also be taken into consideration when final funding decisions are made. The research budget per year for the SANAP programme is approximately R

15 million. This amount includes research related costs, approved overwintering personnel salary costs **and** student bursaries. This amount **excludes** fuel and other associated logistics-related costs to cover the use of the Research Vessel SA Agulhas II for dedicated cruises, which are in addition to the routing logistics expeditions as facilitated by the DFFE.

3.6 Key stakeholders

The key stakeholders involved in SANAP are persons doing research on the Southern Ocean, its islands, and/or Antarctica, employed at public research institutions that are recognised by directive of the Minister of Science and Technology. These include mainly Universities, Museums and Science Councils.

3.7 Information sources

1998 *National Research Foundation Act No. 23 of 1998*

2002 *National Research and Development Strategy*, accessed on 26 March 2013, from <http://www.dst.gov.za/index.php/resource-center/strategies-and-reports/174-national-research-a-development-strategy-2002>

2013 The Department of Science and Technology. *The ministerial guidelines for improving equity in the distribution of DST/NRF bursaries and fellowships.*

2014 The Department of Science and Technology. *South African Antarctic and Southern Ocean Research Plan (2014-2024)*

2015 The Department of Science and Technology. *The South African Marine and Antarctic Research Strategy*

2015 The National Research Foundation Open Access Statement (2015), accessed at <http://ir.nrf.ac.za/page/policies>.

2019 *National Research Foundation Amendment Act No. 19 of 2018*

4 MODUS OPERANDI

4.1 Call for proposals

The South African National Antarctic Programme invites applications to
an **OPEN CALL**
for a three year funding cycle (2024-2026)

All application materials **must** be submitted electronically via the NRF’s Submission system at

<https://nrfconnect.nrf.ac.za>

All applications **must** be endorsed by the research office of the principal investigator before submission to the NRF. It is the responsibility of each applicant to familiarise himself / herself with the **internal closing dates** set by their institution to meet the NRF closing date.

Incomplete or late submissions will not be considered.

Call opens: **06 April 2023**
Call closes: **15 June 2023**

Successful applicants will be eligible for funding **for three years (2024 – 2026)**.

4.2 Contact details

REFER ALL TECHNICAL QUERIES TO:	REFER <u>ALL</u> OTHER QUERIES TO:
SUPPORT DESK 012 481 4202 Supportdesk@nrf.ac.za	TRACY KLARENBEEK 012 481 4177 TJ.Klarenbeek@risa.nrf.ac.za

4.3 Eligibility

- Rated and unrated researchers can apply for three years funding (2024-2026).
- Researchers must be doing research on the Southern Ocean, its islands, and / or Antarctica, and must be employed by public research institutions that are recognised by directive of the Minister of Science and Technology. These include mainly Universities, Museums and Science Councils.
- Part-time employees on contract at a recognised research institution (as defined above) in South Africa may apply, but on condition that their appointment at the South African institution is for (at least) the duration of the project applied for in the submission. The length of the contract should be stated in the application form. Salaries must be paid by the research institution and the primary employment of the individual concerned must be at that institution. A contract researcher appointed at a research institution on behalf of a third party to fulfill a very specific function for the latter does not qualify for support.
- Retired academics/researchers if they meet all set criteria as stipulated below:
 - are resident in SA;
 - are formally affiliated to a recognised institution (as defined above) e.g., appointed as an emeritus professor, honorary research associate/professor, supernumerary/contract employee;
 - are active researchers with a distinguished track record in research and postgraduate student supervision;
 - are actively mentoring/training postgraduate students/young research staff and
 - the institution ensures that a minimum of reasonable time (6 months minimum) is spent at the facility for the purpose of research and research capacity development.
- **Students, including PhD Candidates *are NOT eligible to apply*** as principal investigators in this call. They may, however, find support for their proposed research by embedding this into applications submitted by eligible principal investigators as detailed above. ***Applications for own degree purposes will not be considered.***
- **Post-doctoral Fellows *are NOT eligible to apply*** as principal investigators in this call. They may, however, find support for their proposed research by embedding this into applications submitted by eligible principal investigators as detailed above.

4.4 Application screening

All applications validated by the appropriate designated authority of the institution and submitted before deadline to the NRF via the NRF's Submission system at <https://nrfconnect.nrf.ac.za>, are screened by the NRF for compliance with the eligibility criteria and online application requirements.

This includes the submission of the following **compulsory** attachments:

- DEFF Environmental Impact form

- DEFF Ethics form
- DEFF Logistics Costing Model form
- DEFF Logistics Support Requirements form

Proposals not requiring the submission of such details must still submit the attachments completed as Not Applicable if so deemed.

PLEASE NOTE:

Without exception, applications that fail to meet the stipulated requirements will be rejected without review.

All eligible and appropriately completed applications are subjected to assessment as detailed in section 4.5 below.

4.5 Application assessment

All eligible and appropriately completed applications are subjected to a competitive review process. The assessment of applications will focus primarily on the quality of the proposal, as then on the **financial, logistics and environmental feasibility**. The assessment of applications will be guided by a Panel Assessment Scorecard (**see Annexure 1**) and scored according to the Proposal Grading (**see Annexure 2**). The DSI, DFFE and SAPRI will then make inputs into the strategic alignment, the logistics feasibility, and the environmental feasibility of the successful proposals. The NRF, in consultation with DSI and DFFE, reserves the right to reject scientifically sound applications based on financial, logistic and/or environmental feasibility.

Application assessment will occur by way of a two-tiered process:

- **Postal peer review**

The remote peer reviewers will be specialists in the ambit of the respective proposals. Requests for written reviews will be solicited electronically from peers located at remote locations from the NRF. Applicants will be required to provide the contact details of between 6 and 10 possible reviewers. It is in the applicant's best interest to ensure that the selected reviewers are aware of the submission and are thus likely to respond to a request to review. ***It is also in the applicant's best interests to ensure that selected reviewers have no possible conflict of interest as such reviews are dismissed without consideration. Such conflicts may be personal or professional.*** In addition, the NRF will select appropriate reviewers from the NRF database and other sources, which are updated on a continuous basis. On average, a 30% response rate is achieved by the NRF in the request for self-appointed or NRF-appointed postal peer reviews, and applicants may consider contacting reviewers to garner their support.

- **Panel-peer review**

Panels will include specialists and other established researchers, selected based both on their respective knowledge in the field, and for their research standing. The NRF has invited international panel members in the past and may do so pending appropriateness and availability of such participants. The panel meeting may be held virtually or in person in Pretoria. Panel members will deliberate on submitted written reviews and will be expected to offer their own expert opinions.

4.6 Application ranking

The purpose of the scoring system is to evaluate applications, based on the strategic objectives of the funding instrument. Funding decisions for the SANAP funding instrument are informed primarily by the accumulative grading the review panel in respect of each assessed application, as per the assessment criteria outlined in **Annexure 1**. Each criterion is weighted, giving an indication of the strategic importance of the criteria. Applications are then ranked in accordance with their overall scores. Applicants are advised to consider the assessment criteria carefully when writing their proposals. The final funding decisions are subject to budget availability. Financial and logistic feasibility will form **an essential part** of the assessment process. Due to the competitive nature of this funding instruments, all proposals scored “average” and below for scientific merit and feasibility will not be considered for funding.

4.7 Rules of participation

a) Principal Investigator

Only researchers employed at NRF recognized research institutions in South Africa (as defined above) are eligible to apply as principal investigators in this funding instrument.

The principal investigator (i.e., the applicant/PI) must be an active researcher who takes intellectual responsibility for the project, its conception, any strategic decisions required in its pursuit, and the communication of results. The PI must have the capacity to make a serious commitment to the project and cannot assume the role of a supplier of resources for work that will largely be placed in the hands of others. S/he will take responsibility for the management and administration of resources allocated to the grant award. S/he will also take responsibility for timeously meeting all reporting requirements.

A PI **MAY NOT** submit a research proposal for their own degree purposes; or on behalf of a student where the student in the main will be carrying out the research. The expectation is that individual student projects will be embedded within a larger research programme or project.

The research team may also include:

b) Co-investigators

A co-investigator is an active researcher who provides **significant** commitment, intellectual input and relevant expertise into the design and implementation of the research application. S/he will be involved in all or at least some well-defined research activities within the scope of the application. South African-based co-investigators are eligible to receive NRF funds from the grant if the team's application is successful.

**Please note that post-doctoral fellows, students, technical & support staff
DO NOT
qualify as co-investigators or collaborators, and should not be listed as such.**

The project may also include:

c) Collaborators

These are individuals or groups who are anticipated to make a **relatively small**, but meaningful contribution to the research endeavours outlined in the application, but who have not actively participated in the research design. They are not considered a part of the core research team and are not eligible to receive NRF funds from the grant if the team's application is successful.

4.8 Data Management

A formal data management plan is required. This describes the anticipated acquisition or generation of data, as well as how such data will be managed, described, analysed and stored. Importantly, this plan will also describe the mechanisms (including digital data storage) that will be used at the end of the project to share and preserve such data. All data management must be in accordance with the NRF Open Access Statement (2015), available at [NRF-Open-Access-Statement.pdf](#).

Successful grant applications are subject to the NRF Conditions of Grant, which clearly outline data storage, usage, and dissemination requirements (Section 9):

"Where the Lead Institution decides that the NRF funded research outputs should not be protected under Intellectual Property Rights, the Institution shall be obliged to make the necessary arrangements within its powers to ensure the availability of the research output data to the larger research community through existing specific research fields or other generic databases and has complied with national legislation in this regard.

All papers that were published in an Open Access journal or other publisher prior to the release of the NRF statement on Open Access to Research Publications may deposit the published version in PDF format, should this be allowed by the publisher, such versions should be deposited into the administering Institutional Repository and Open Access should be provided as soon as

possible. In addition, the data supporting the publication should be deposited in an accredited Open Access repository, with the provision of a Digital Object Identifier for future citation and referencing”.

Should the host institution not have a repository, a dataset can be deposited in the NRF’s SADA database “as a last resort” or in other international repositories registered at DataCite”. Options for data storage exist at SAEON as well. Please contact SAEON for further information.

4.9 Timelines

SANAP will be awarded for a period not exceeding three years **(2024 – 2026)**. The DSI, DFFE and SAPRI will then make inputs into the strategic alignment, the logistics feasibility, and the environmental feasibility of the successful proposals. The NRF, in consultation with DSI, DEFF and SAPRI, reserves the right to reject scientifically sound applications based on financial, logistic and/or environmental feasibility.

4.10 Management of funding instrument

The KAS Directorate of the NRF – Research and Innovation Support and Advancement (RISA) manages SANAP and is primarily responsible for:

- Strategic oversight and management of the funding instrument;
- Conceptualizing and developing the funding instrument;
- Coordinating and facilitating activities of the funding instrument;
- Compiling funding instrument research and evaluation reports;
- Stakeholder engagement; and
- Ensuring that the funding instruments delivers on its intended goal(s).

The RE Directorate is responsible for managing the adjudication process including:

- sourcing of reviewers both for remote reviews and panels;
- managing the peer review process;
- organizing and managing the review panels; and
- providing feedback to unsuccessful applicants

The GMSA Directorate is responsible for

- Managing the call process, that is,
 - Posting the call;
 - Receiving the applications;
- Coordinating and facilitating the granting processes
- Managing the granting including the administration of awards;

- Administering grant payments; and
- Ensuring adherence to conditions of grants

4.11 Lines of authority

The SANAP Director in the KAS Directorate generally manages SANAP. The Director responsible for this funding instrument reports to the Executive Director of the KAS Directorate. The review processes are managed by RE Directors, and the granting processes are managed by GMSA Directors. These Directors in turn report directly to their respective Executive Directors.

5 FINANCIALS

5.1 Funding model

The grants of this funding instrument are primarily to support research, over-wintering personnel salaries, and the associated (and approved) logistics costs. Careful consideration should be given to the development of associated human resources under the auspices of the NRF standard grant and finance policies. Overall, the SANAP funding instrument is required to expense no less than 30% per annum on human capital development in the form of student bursaries, student activities, and the development of early career researchers. Successful applicants will be sent conditions of grant along with a successful award letter. The money is released upon acceptance of the conditions of grant, both by the applicant and his/her employing institution. These grants are subject to the NRF audit requirements of beneficiary institutions.

Applicants, through their institutions, bear the onus of ensuring that adequate insurance, underwritten by companies that clearly understand the remoteness of these placements, is obtained. In the event of a medical evacuation of over-wintering staff, any shortfall not covered by the insurance company will be covered by the NRF. Over-wintering university staff (which includes students) will be required to sign the terms and conditions under which a medical evacuation will be entertained.

5.2 Logistics budget requirements

In addition to the research budget guidelines described below, applicants must pay careful attention to their logistical requirements and attendant budget needs for additional items required by the DFFE. This may include ship's time and/or helicopter time. When undertaking the budget section of the application, applicants **MUST** therefore also refer to the 2023 DFFE Framework document for additional logistics items that must be budgeted for. Additional logistics budget requirements should be costed for in the attached DEFF Logistics Costing Model **AND** the corresponding totals must be included in the online application budget template for overall financial consideration.

5.3 Funding ranges

Successful applications will receive funding that accommodates the following budget items:

- a) Over-wintering staff salaries
- b) Research-related operating costs, including:
 - Materials and Supplies
 - Travel and subsistence
 - Research / Technical / *Ad hoc* Assistants
 - Research Equipment
 - Logistics-related costs
 - Post-doctoral Fellows

PLEASE NOTE that only grantholder nominated post-doctoral fellows are approved via this application process. Students are encouraged to apply directly to the NRF for bursary support. Students linked to successful NRF-funded research projects will be prioritized in accordance with the [DSI-NRF Postgraduate Student Funding Policy](#). Applicants and grantholders are thus encouraged to give their application numbers or UID's to the students they wish to recruit. Please see **Section 5.4**. The application assessment process will consider proposed budget items in terms of cost, risk, and reward ratios. Decisions relating to budget items will also be governed by the overall funding instrument funds available for the period. Awards will be made in line with the NRF funding rules and guidelines as outlined in **Section 5.4**.

5.4 Funding support

The NRF funds SANAP on an ongoing basis, and in line with contractual obligations between the NRF and the DSI. NRF-recognised institutions (as defined above) are the primary beneficiaries of this funding instrument.

a) **Student support (SA-based only)**

The DSI-NRF Postgraduate Student Funding Policy uses postgraduate student funding as a lever to address the challenges of inequity of access, success, and throughput. The policy is underpinned by the pursuit of research excellence in all its dimensions and has **transformation of the postgraduate cohort as the core objective**. Its purpose is to retain high academic achievers in the system to pursue postgraduate studies up to the doctoral level, as part of a national drive to grow the next generation of academics to sustain South Africa's knowledge enterprise. The NRF is prioritising postgraduate students with research inclination, with the aim to grow the pool of early career researchers.

All the postgraduate students MUST apply for student support on the NRF Connect by accessing the link: <https://nrfconnect.nrf.ac.za>. This single entry point will allow the NRF to co-ordinate the

applications that have not yet had the financial means test conducted, this financial means test will be conducted by Ikusasa Students Financial Aid Programme (ISFAP). Postgraduate students will be funded either at Full Cost of Study (FCS) or Partial Cost of Study (PCS) under the new policy. To ensure equity of access to postgraduate studies, financially needy students (i.e., those whose combined household income is R350 000 per annum or less) and students with a disability will be funded at FCS. Academic highfliers achieving a distinction or first-class pass will also be eligible for funding at FCS. International students (maximum 5% of students receiving support) as well as any other South African students who could not be funded under FCS will be funded at PCS. The academic minimum requirement for NRF postgraduate funding is 65% to be eligible for FCS and PCS support. Age limits also apply.

For further details on the NRF Postgraduate Funding policy, kindly refer to the framework document which is available on [DSI-NRF Postgraduate Funding](#).

b) Over-wintering staff salaries

The appointment of over-wintering staff will be in line with the salary scales of the DFFE (***DFFE Levels 1-10 - TOTAL SALARY PACKAGES***). The request for overwintering staff must be accompanied by a justification for the proposed salary scale, and the funding requests for remuneration must be requested (and will be awarded) in line with the DFFE salary scales as proposed.

The responsibility for advertising, interviewing, and recommending over-wintering staff for Marion Island and for Antarctica will lie with the applicant, but appointment of such staff will be subject to the approval of the SANAP Intergovernmental Steering Committee, which will consist of selected or nominated members from the NRF, DFFE, the DSI and the research community. Issues relating to the race, gender and nationality of these appointees will be closely scrutinised within the wider ambit of transforming the demographic of the SANAP programme into the future.

c) Research Related Operating Costs

These costs include materials and supplies, travel (including conferences and subsistence), equipment, and research / technical / *ad hoc* assistance. These costs should be justified and commensurate with the planned outputs, as they will be assessed on this basis.

The costs related to advertising, interviewing and appointing overwintering staff should be included in the final request for funding. These costs must include the medical and psychometric assessment of candidates.

Additional logistic requirements must be detailed in the “DFFE Logistics Costing Model” attachment and the totals included in the online financials section. These logistics requirements are for activities’ relating to deviations from standard relief voyage transects and flight arrangements only. Strong motivations for such deviations must accompany the application and

must indicate the impact on the feasibility of the overall project should such deviations not be possible.

Specialised equipment and/or gear will not be catered for by DFFE and should also be included in the SANAP financial request. As with the above, the feasibility of the overall project should the equipment not be awarded, must be indicated. The placement of equipment and the use of specialised gear will remain subject to the existing protocols of the DFFE.

The amount awarded within this framework **can be used at the discretion of the applicant**. It is not necessary for SANAP grant holders to request special permission to alter their expenditure categories. This applies to all categories except post-doctoral fellowships. Post-doctoral support will be R200 000 per year for a maximum of two years.

General Guidelines

Materials and Supplies

The NRF **does not** provide financial support for:

- Basic office equipment including computers and consumables. Computers purchases will only be allowed in instances where these are specific requirements for the research itself (e.g. high performance computing). Computers purchases will be allowed if the principal investigator or co-investigator is based at a museum.
- Basic office stationery, photocopying costs, printing costs unless these items form part of the research tools, or the principal investigator or co-investigator is based at a museum.
- Journal publication costs, journal subscription costs, book costs unless the principal investigator or co-investigator is based at a museum.
- Telephone, fax, and internet costs unless the principal investigator or co-investigator is based at a museum.
- Lecturer replacement costs.
- Student stipends /payment for assisting with research activities.

Travel and subsistence

- International conference attendance: The NRF restricts this amount to R50, 000 **per application** per year for a team proposal, i.e., for principal investigators, co-investigators (local only) and local post-graduate students. This amount may be reduced proportionately if there is no team member and/or post-graduate student involvement.
- International visits: These will be considered on a case-by-case basis. Such visits must be integral to the research plan and strong motivations should accompany these requests. Realistic funding allocations will be based on the requested activities. Both incoming and outgoing visits will be considered against the overall availability of funding.
- Local conference attendance: The NRF restricts expenditure against this item to R5 000 per person (all costs). Support for local conference attendance could be requested for all listed

co-investigators and post-graduate students. The applicant should detail the following in their motivations:

- The value of attending more than one local conference per annum if so requested
- The number of people that should be funded to attend local conferences.
- Local travel: The NRF does not stipulate any rate for mileage as this will depend on the research institutions' rate, which varies per institution. Applicants are requested to provide details of this rate, as well as the estimated distance to be travelled within the given year.
- Local accommodation should not exceed a three-star rating establishment, per night per person.

Research / Technical / Ad hoc Assistants

NB: A distinction must be made between home-based technical assistance and expedition member technical assistance.

- This funding instrument **does not support full cost recovery.**
- Requests for research / technical / *ad hoc* assistance should be treated with caution. The NRF strongly encourages applicants to engage students to undertake the research rather than employing research consultants. This guideline however does not apply when **highly specialized** research / technical expertise is required. **This should be CLEARLY motivated for in the proposal.**

Administrative or student assistance does NOT qualify as research/ technical or *ad hoc* assistance.

Research equipment

Requisitions for large equipment items (over R 1 000 000 per application) should be submitted through the NRF's Equipment Programme. Requisitions for equipment over R 200 000 should be accompanied by a clear feasibility statement should the amount not be awarded either in part or in full.

c) Funding to cater for disabilities

Additional funding support to cater for disability may be allocated to people with disabilities as specified in the Code of Good Practice on Employment of People with Disabilities as in the Employment Equity Act No 55 of 1998.

5.5 Funding instrument budget

SANAP is made possible through contract funding from the DSI.

5.6 Financial control and reporting

Upon receipt of the signed Conditions of Grant letter, the NRF will release the awarded amount for the year. Grant holders will then be required to comply with the standard NRF financial management procedures, including the submission of an Annual Progress Report. Should an annual progress report not be received, the grant will be cancelled, and all funds reallocated at the discretion of the NRF. Progress reports for **all** grants received from this **and any other** NRF instrument are a prerequisite for continued funding (clauses 2.2; 3.2.3 and 12.2.4 in the Conditions of Grant letter). These are to be submitted in accordance with institutional deadlines. The timeous submission of accurate and informative Annual Progress Reports is a prerequisite for the release of any further funding. Failure to submit the Annual Progress Report will result in the cancellation of this and all other active NRF grant awards.

6 MONITORING AND EVALUATION OF THE FUNDING INSTRUMENT

The NRF is responsible for monitoring and evaluating SANAP.

6.1 Reporting

The funding instrument Director is responsible for reporting quarterly on the contribution of SANAP to the KAS Directorate's Key Performance Indicators. In addition, the funding instrument Director is responsible for reviewing and reporting to the DSI annually on the progress of the funding instrument.

6.2. Timeframes for programme review

SANAP will be evaluated by an appropriate external reviewer as appointed by the RE Directorate. In consultation with the RE Directorate, KAS will agree to and set timeframes for the review in line with existing NRF policies and guidelines.

6.3 Broad terms of reference for the programme review

The broad terms of reference for the programme review of the SANAP funding instrument will be determined by the KAS Directorate prior to the evaluation taking place, and in accordance with tenets set in the RE Directorate's Guidelines.

6.4 Utilisation of programme review findings and recommendations.

The results of the evaluation will be used in line with the purposes set in the Terms of Reference for the evaluation, as well as for the improvement and development of the funding instrument.

Annexure 1: Panel Assessment Scorecard.

Criteria	Sub-Criteria	Details	Score / 4	Weight	Weighted score
Proposals	Scientific merit and feasibility	<ul style="list-style-type: none"> • Reflect on the scientific, ethical, logistics and technical feasibility as proposed. • Reflect on past contributions of the applicant to appropriate knowledge production (e.g. journal articles, book chapters, designs, performances, etc.). • The proposed work significantly advance discovery and understanding in the field in terms of Impact on knowledge production. 		45%	0.00
Equity	Of applicant	Race / Gender ⁵ .		15%	0.00
	Of students graduated	M and D graduates in the last 5yrs		10%	0.00
Collaboration	International, national, and institutional collaborations	<ul style="list-style-type: none"> • Are the appropriate collaborations proposed in the application? • Are historically disadvantaged institutions included? • Are the roles of the proposed collaborators clearly indicated? 		10%	0.00
Impacts	Wider impact	<ul style="list-style-type: none"> • Has the potential contribution to economic, societal, or environmental impact been appropriately embedded in the proposal? • Is it clear how such impact will be measured? 		10%	0.00
Data management and use	Data management plan	Has an appropriate, comprehensive data management plan been embedded within the proposal (as attachment or as free text)?		5%	0.00
	Open Access	Is the open access to all data generated by the proposed research been appropriately and comprehensively detailed?		5%	
Totals				100%	0.00

⁵ This is a preset score inserted by the NRF. See Annexure 3

ANNEXURE 2: Proposal Grading – SANAP.

Score	Meaning of score	Notes
4	Exceptional	Application demonstrates evidence of exceptional performance across all the stated criteria, as determined by the panel and relative to the knowledge field under consideration.
3	Excellent	Application demonstrates evidence of outstanding performance across all the stated criteria, as determined by the panel and relative to the knowledge field under consideration.
2	Above average	Application demonstrates evidence of above average performance across all the stated criteria, as determined by the panel and relative to the knowledge field under consideration.
1	Average	Application demonstrates evidence of average performance across all the stated criteria, as determined by the panel and relative to the knowledge field under consideration.
0	Below average	Application demonstrates evidence of below average performance across all the stated criteria, as determined by panel and relative to knowledge field under consideration.

Context:

Proposal grading is done with sensitivity to the context within which each application is submitted. The score of each criterion for each application will be contextualised to accommodate variability in such things as knowledge fields, institutional capacity, etc. Should a criterion not be applicable to a specific application (e.g., plans for digital data storage; collaborations; etc.), the weighting of that specific criteria will be made to equal zero, and the overall score normalised.

ANNEXURE 3

Preset equity scores.

Equity Status	Preset Equity Score
Disabled	4
Black female; Black male, young ⁶	4
Black male, not young	3
White female, young	3
White female, not young	2
White male, young	2
White male, not young	1

It should be noted that non-South African citizens, including permanent residents will be scored as White females or males, as appropriate.

⁶ "Young" refers to 5 years post-PhD as per the applicant's CV. Applicants will be classified as "young" if their graduation date is less than 5 years prior to the date of assessment.