



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

**KNOWLEDGE FIELDS DEVELOPMENT**

**Framework Document**

**and Funding Guide**

**April 2017**

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## **LIST OF ACRONYMS**

<b>ATCM</b>	<b>Antarctic Treaty Consultative Meeting</b>
<b>BAR</b>	<b>Basic Assessment Report</b>
<b>CEE</b>	<b>Comprehensive Environmental Evaluation</b>
<b>CEP</b>	<b>Committee for Environmental Protection</b>
<b>DEA</b>	<b>Department of Environmental Affairs</b>
<b>DCO</b>	<b>Departmental Coordinating Officer</b>
<b>D: IEA</b>	<b>Directorate: Integrated Environmental Authorisations</b>
<b>D: SO&amp;AS</b>	<b>Directorate: Southern Ocean and Antarctic Support</b>
<b>DST</b>	<b>Department of Science and Technology</b>
<b>EAP</b>	<b>Environmental Assessment Practitioner</b>
<b>ECO</b>	<b>Environmental Control Officer</b>
<b>EIA</b>	<b>Environmental Impact Assessment</b>
<b>EIR</b>	<b>Environmental Impact Assessment Report</b>
<b>EMPR</b>	<b>Environmental Management Programme</b>
<b>GMSA</b>	<b>Grant Management and Systems Administration</b>
<b>IEE</b>	<b>Initial Environmental Evaluation</b>
<b>KFD</b>	<b>Knowledge Fields Development</b>
<b>NEMA</b>	<b>National Environmental Management Act</b>
<b>NDPW</b>	<b>National Department of Public Works</b>
<b>NRF</b>	<b>National Research Foundation</b>
<b>PEA</b>	<b>Preliminary Environmental Assessment</b>
<b>PEIAC</b>	<b>Prince Edward Island Advisory Committee</b>
<b>PEP</b>	<b>Protocol on Environmental Protection</b>
<b>PI</b>	<b>Principal Investigator</b>
<b>PPP</b>	<b>Public Participation Process</b>

<b>RE</b>	<b>Reviews and Evaluation</b>
<b>RISA</b>	<b>Research and Innovation Support and Advancement</b>
<b>SANAE</b>	<b>South African National Antarctic Expedition</b>
<b>SANAP</b>	<b>South African National Antarctic Programme</b>
<b>SNR</b>	<b>Special Nature Reserve</b>
<b>S&amp;T</b>	<b>Subsistence and Travel</b>

## SECTION 1 RESEARCH SUPPORT

### 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 in 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 in Antarctica**
- **Alignment with the research themes as detailed in the South African Antarctic and Southern Ocean Research Plan (2014-2024)**
- **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 (the Research Plan) is focused on an integrative systems approach to understanding the evolution of the earth systems and ecosystems in the 21<sup>st</sup> 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 importance<sup>1</sup>.

Specific research themes detailed in the Research Plan are:

- **Earth Systems**

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<sup>1</sup> The South African Antarctic and Southern Ocean Research Plan (2014-2024)

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

Social Sciences, Law and Humanities applications are especially encouraged, as are applications addressing innovation. Each research theme has a number of sub-themes, and applicants are strongly encouraged to familiarise themselves with the thematic focus of the Research Plan, as well as with the overall strategic context provided in the MARS (both attached hereto) so as 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 in order 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 so as 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 Ocean<sup>2</sup> littoral State cannot be overstressed.

South Africa also maintains bases at Marion and Gough Islands, administered by the Department of Environmental Affairs (DEA). 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.

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<sup>2</sup> 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.

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 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 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 and thereby to contribute to the improvement of the quality of life of all the people of the Republic (NRF Act, 1998). In support of its purpose, the *NRF Strategy 2020* that aims at two strategic outcomes, namely *a vibrant and globally connected national system of innovation*, and *a representative research and technical workforce* targeting the following four strategic goals:

- A scientifically literate and engaged society
- World-class benchmarking and grant making systems;
- An internationally competitive and transformed research system; and
- Leading edge research and infrastructure platforms

#### **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, addresses the following objectives of the *NRF Strategy 2020*:

- To promote globally competitive research and innovation;
- Enhance strategic international engagement; and
- 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 Fields Development (KFD) Directorate within the Research and Innovations Support and Advancement (RISA) business unit of the NRF on behalf of the Department of Science and Technology (DST).

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 Environmental Affairs (DEA) 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.

### **3.5 Financing support**

SANAP is made possible through contract funding from the Department of Science and Technology (DST). The DST will fund a three year cycle of research funding from 2018-2020. 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 research budget per year for the SANAP programme is approximately R 17 million. This amount includes research related costs, approved overwintering personnel salary costs **and** student bursaries, but **excludes** fuel and other associated logistics-related costs to cover the use of the Research Vessel SA Agulhas II for dedicated cruises.

### 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

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. *The National Research Foundation Strategy 2020* accessed at <http://www.nrf.ac.za/sites/default/files/documents/NRF%20Strategy%20Implementation.pdf>, ISBN: 978-1-86868-088-7

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

## 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 (2018-2020)

All application materials **must** be submitted electronically via the NRF Online  
Submission System at  
<https://nrfsubmission.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 in order to meet  
the NRF closing date.

**Incomplete or late submissions will not be accepted.**

Call opens: **3 April 2017**

Call closes: **26 May 2017**

Successful applicants will be eligible for funding **for three years (2018 – 2020)**.

### 4.2 Contact details

REFER ALL TECHNICAL QUERIES TO:	REFER <u>ALL</u> OTHER QUERIES TO:
SUPPORT DESK 012 481 4202 <a href="mailto:Supportdesk@nrf.ac.za">Supportdesk@nrf.ac.za</a>	TRACY KLARENBECK 012 481 4177 <a href="mailto:Tracy@nrf.ac.za">Tracy@nrf.ac.za</a>

### 4.3 Eligibility

- Rated and unrated researchers can apply for three years funding (2018-2020) in this call
- 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, provided that 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 and 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. ***Applications for own degree purposes will not be considered.***

### 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://nrfs submission.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:

- DEA Environmental Impact form
- DEA Ethics form
- DEA Logistics Costing Model form
- DEA 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 be the quality of the proposal, as well as by the 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**). Application assessment will begin 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.

- **Panel-peer review**

Panels will be broadly include specialists, 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 meetings will be held in Pretoria. Panel members will deliberate on submitted written reviews and will be expected to offer their own expert opinions.

The DST and DEA will then make inputs into the strategic alignment, the logistics feasibility and the environmental feasibility of the successful proposals. The NRF, in consultation with DST and DEA, reserves the right to reject scientifically sound applications based on logistic and/or environmental feasibility.

#### **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.

## 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 <http://ir.nrf.ac.za/page/policies>.

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”

## 4.9 Timelines

SANAP will be awarded for a period not exceeding three years **(2018 – 2020)**. Student commitments will be honored beyond 2020 as long as all NRF grant conditions are fulfilled.

## 4.10 Management of funding instrument

The KFD 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 KFD Directorate generally manages SANAP. The Director responsible for this funding instrument reports to the Executive Director of the KFD 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. A portion of the 2018-2020 allocation will be ringfenced for new entrants and 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.

## 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 DEA.

When undertaking the budget section of the application, applicants **MUST** therefore also refer to SECTIONS 2 AND 3 in this guide for additional logistics items that must be budgeted for. Additional logistics budget requirements should be costed for in the attached DEA 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) Grant holder-linked student support
- b) Staff development grants
- c) Over-wintering staff salaries
- d) Research-related operating costs, including:
  - Sabbaticals
  - Materials and Supplies
  - Travel and subsistence
  - Research / Technical / *Ad hoc* Assistants
  - Research Equipment
  - Logistics-related costs

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. NRF-recognised institutions (as defined above) are the primary beneficiaries of this funding instrument.

### a) **Grant holder-linked student support (SA-based only)**

Student participation in the programme is mandatory. Evidence of student participation is evidenced in the request for grant holder-linked bursaries. Details of alternative support for students should be highlighted. Grant holder-linked student support will be awarded in accordance with eligibility criteria as detailed in the **Ministerial Guidelines for Improving Equity in the Distribution of DST/NRF Bursaries and Fellowships** (January 2013).

The equity distribution for these bursaries is targeted at the ratio:

- 80% Black
- 55% Female
- 4% Disabled

**The awarding of postdoctoral fellowships will be guided, but not governed, by equity targets.**

It is important to note that citizen quotas for grant-holder linked Masters and PhD bursaries in SANAP apply and are strictly implemented by GMSA. The citizenship distribution for these bursaries is targeted at the ratio:

- 87% South African (including permanent residents)
- 5% SADC
- 4% rest of the African continent
- 4% non-African

**The award of postdoctoral fellowships is not governed by citizenship quotas.**

## Values of Student Assistantships, Bursaries and Fellowships

- Honours / BTech (Full-time) R40 000 pa Max 1 year  
**ONLY South African citizens are eligible to apply.**
- Masters degree (Full-time) R70 000 pa Max 2 years
- Doctoral degree (Full-time) R100 000 pa Max 3 years
- Postdoctoral (*pro rata* per month) R200 000 pa Max 2 years

The appointment of new Doctoral students and Postdoctoral Fellows in the final year of award (i.e.2020) will only be allowed in exceptional circumstances.

### b) Staff Development Grants

Applicants may apply for Staff Development grants for South African **staff members** at their own or other recognised South African institutions who are not current or potential grant-holders in their own right. These staff members **must** be registered for Masters or Doctoral degrees and be supervised by the grant holder or a co-investigator on the team. They must be directly involved in the NRF approved project. These grants can be used to contribute towards the operating costs for research undertaken at the supervisor's facility, as well as the cost of travel and accommodation to enable staff members to meet with (co) / supervisors. These grants are awarded to a maximum of R30 000, depending on the nature of the research and the proximity of the student in relation to the supervisor. **Applicants themselves are not eligible for Staff Development Grants.** The maximum period of support is three years for a Masters' degree and five years for a Doctoral degree.

The appointment of new Masters or Doctoral staff development grants in the final year of award (i.e. 2020) will not be allowed.

### c) Over-wintering staff salaries

The appointment of over-wintering staff will be in line with the salary scales of the DEA as attached to this call (**DEA Levels 1-10 - TOTAL SALARY PACKAGES - 1 April 2016**). 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 DEA 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, DEA, the DST 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.

**d) Research Related Operating Costs**

These costs include: materials and supplies, travel (including conferences and subsistence), equipment, and research / technical / *ad hoc* assistance. Sabbaticals to other research organisations and institutions of higher learning may also be included within the context of the project proposals. These costs should be justified and commensurate with the planned outputs, as they will be assessed on this basis.

The insurance requirements of over-wintering staff will be covered by the SANAP programme. However, applicants bear the onus of ensuring that adequate insurance, underwritten by companies that clearly understand the remoteness of these placements, is obtained.

- Marion Island – Insurance for the evacuation of an expedition member by means of a chartered ship. This would entail evacuation due to incompatibility and becoming a danger to himself or his fellow team members or for the case where he is deemed to be medically unfit to continue operating from a remote site with limited medical attention as determined by the Medical advisors of the DEA. Limit of Liability for this will be up to R5million
- Antarctica – Insurance for the evacuation of an expedition member by means of a chartered ship or aircraft. This would entail evacuation due to incompatibility and becoming a danger to himself or his fellow team members or for the case where he is deemed to be medically unfit to continue operating from a remote site with limited medical attention as determined by the Medical advisors of the DEA. Limit of Liability for this will be up to R15 million
- Marion Island and Antarctica – A combination of the requirements stipulated here above but with the liability cover of having to transport a person via another country/s to return them home. The cover would also include international SOS or similar as well as the need for medical visa, costs of medical treatment in other countries and accommodation while in other countries. The limitation of liability in this case is that of the usual travel insurance offered by AIG etc.

Applicants or institutions are encouraged to consider economies of scale when investigating insurance costs.

The costs related to advertising, interviewing and appointing overwintering staff should be included in the final request for funding.

Additional logistic requirements must be detailed in the “DEA 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 DEA 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 DEA.

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.

## **General Guidelines**

### Sabbaticals

Sabbaticals will be considered for a period from two to six months. The maximum sabbatical amount requested should not exceed R 80 000 for six months. Funding for sabbaticals of less than six months will be reduced pro-rata. Only principal investigators and co-investigators are eligible to apply for sabbatical funding. The awarding of financial support for sabbaticals will be considered against the overall availability of funding.

### 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.

### Travel and subsistence

- International conference attendance: Generally 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: Generally 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 specific and / or highly specialized research / technical expertise is required. **This should be CLEARLY motivated for in the proposal.**

**Administrative assistance does NOT qualify as technical assistance.**

#### Research equipment

Requisitions for large equipment items (over R 1 000 000) should be submitted through the NRF's Equipment Programme.

**d) 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 DST.

**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. These are to be submitted before the end of March of the following year, and are a prerequisite for the release of the subsequent year's funding. Failure to submit the Annual Progress Report will result in the cancellation of the grant award.

**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 KFD Directorate's Key Performance Indicators. In addition, the funding instrument Director is responsible for reviewing and reporting to the DST 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, KFD 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 KFD 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 SANAP Panel Assessment Scorecard

Criteria	Sub-Criteria	Details	Score / 4	Weight
<b>Proposal</b>	Scientific merit and feasibility	Reflect on the proposed rationale, approach and methodology		40%
		Reflect on the scientific, logistic and technical feasibility as proposed		
		Has knowledge of relevant literature been adequately articulated?		
<b>Alignment</b>	Alignment to National Strategies	Reflect on the proposal's alignment to relevant National Strategies		10%
<b>Equity</b>	Of applicant	Race / Gender / Years post PhD <sup>3</sup>		5%
<b>Transformation</b>	Early career researchers & postgraduates	Reflect on the historical and proposed compliance with transformational objectives		5%
<b>Collaboration</b>	International, national and institutional collaborations	Are the appropriate collaborations proposed in the application?		10%
		Are the roles of the proposed collaborators clearly indicated?		
<b>Impact</b>	Impact on knowledge production	Will the proposed work significantly advance discovery in the field?		10%
	Wider Impact	Has the possibility for economic, societal or environmental impact beyond specialists in the field been embedded in the proposal?  Is it clear how such impact will be measured?		10%
<b>Data management and use</b>	Plans for digital data storage, usage and/or dissemination	Has appropriate consideration been given to digital data storage, usage and/or dissemination beyond the immediate project team?		10%
			<b>Total</b>	<b>100%</b>

<sup>3</sup> This score is predetermined in accordance with an NRF-approved scale – see Annexure 3

## ANNEXURE 2

Annexure 2: Proposal Grading		
South African National Antarctic Programme		
Score	Meaning of score	Notes
4	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
3	Above average	Above average performance across all criteria, as determined by the panel and relative to the knowledge field under consideration
2	Average <sup>4</sup>	Application demonstrates average performance across all the stated criteria, as determined by the panel and relative to the knowledge field under consideration
1	Below average	Below average performance across all the criteria, as determined by panel and relative to knowledge field
0	Poor	There are major shortcomings or flaws within and across the stated criteria, with <b>particular emphasis</b> on the scientific/scholarly merit
<p><b>Context:</b></p> <p>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.</p>		

<sup>4</sup> All applications that score Average (2) or less for scientific feasibility and merit will not be eligible for funding under the SANAP funding instrument

## ANNEXURE 3

### Preset equity scores

<b>Equity Status</b>	<b>Preset Equity Score</b>
Disabled	4
Black female; Black male, young <sup>5</sup>	4
Black male, not young	3
White female, young	3
White female, not young	2
White male, young	2
Disabled	1

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<sup>5</sup> "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.

**SECTION 2 LOGISTICS AND GENERAL PROCEDURES AS MANAGED BY THE DEPARTMENT OF ENVIRONMENTAL AFFAIRS, DIRECTORATE: SOUTHERN OCEAN AND ANTARCTIC SUPPORT (D:SO&AS)**

**7 DEFINITIONS**

- **DCO (DEA)** - Departmental Coordinating Officer is the DEA official appointed overall in charge of a relief expedition.
- **Logistics expedition members (logistic support personnel on DEA salaries)** - Personnel overwintering at a base, e.g. medical doctor/orderly, radio technician, diesel mechanic, etc. – **DEA administers and pays salaries of these personnel.**
- **Research expedition members (affiliated to Universities/other Institutions - salaries)** - Personnel linked to SANAP-supported research projects overwintering at a base, e.g. field/research assistants, researchers. **These salaries will be added to your grant application and the total claimed from NRF.**
- **Home-based personnel (Bursary students)** - Full-time bursary students, linked to SANAP-supported research projects, based at a recognised University or Institution in South Africa and paid from SANAP grants (administered by NRF).
- **NDPW** - National Department of Public Works.
- **Overwintering expedition** - A period of approximately 14 months that expedition members spend at a base before they are relieved by the following takeover expedition.
- **PEIAC** - Prince Edward Islands Advisory Committee. All applications to undertake research on Marion and/or Prince Edward Island are subject to approval by this committee.
- **Principal Investigator** - The programme director/project leader of a research project/programme.

- **Relief voyage (takeover)** - A period of 30-36 (Marion/Gough) or 70 (Antarctica) days during which the new team is dropped off and trained (support and research personnel); cargo, fuel and supplies are offloaded; routine maintenance conducted and the old team is collected, also known as a “takeover”.
- **Relief voyage (takeover) personnel** - All personnel accompanying a relief voyage, e.g. Principal Investigators, bursary students, technical/specialised staff, *ad hoc* personnel, etc. There are 3 annual relief voyages which applicants can participate in (dates subject to change), namely:
  - Marion Island (including Prince Edward Island)  
April – May annually (relief period = 30-36 days)
  - Gough Island  
September – October annually (relief period = 30-36 days)
  - Antarctica (SANAE IV)  
December – February annually (relief period = 70 days)
- **Store** - SANAP store in Cape Town. Appointments must be made to obtain protective clothing issued by DEA at this store prior to departure and all cargo (equipment, supplies, etc.) deliveries must be made to this store.
- **S&T** - All costs pertaining to air tickets (economy class)/bus services; taxi/car hire/shuttle service (transport); parking; accommodation (up to 3-star); food (subsistence); daily allowance/s and bonuses, etc. **Alcoholic beverages, cigarettes and private telephone calls may NOT be included in S&T.**
- **Technical support** - Technical/specialised staff at a University or Institution that are not bursary students or overwintering expedition members, but who render an essential service to a project.

## 8. STAFF MATTERS

### 8.1 Staff Distinctions

With reference to staff, it is necessary to distinguish between the following:

- (a) Logistics expedition members overwintering at a base, e.g. medical doctor/orderly, radio technician, diesel mechanic, meteorologists, environmental control officers (ECO).

Salaries are paid and administered by DEA.

- (b) Research expedition members overwintering at a base e.g. research/field assistants, researchers, etc. Paid from approved SANAP research grants.
- (c) Home-based personnel in the form of bursary students paid from SANAP grants at set bursary values.
- (d) Technical support/specialised staff at a University or Institution that are not bursary students or overwintering expedition members, but who render an essential service to a project.
- (e) Relief voyage (takeover) personnel may comprise (c) and (d) above, as well as Principal Investigators, *ad hoc* personnel, etc.

## **8.2 Expedition Member Defined**

An expedition member can be defined as a person who is appointed on a temporary basis (approximately 14 months) to undertake a specific scientific programme or task at SANAE IV (Antarctica) or the Islands for a longer period than the relief/takeover period. In the case of members mentioned in paragraph 2.1 (b) above, such members also remain expedition members while they receive training before their departure to a base or during the processing of the data collected on their return from a base.

*Alternatively, it may be negotiated to appoint them as home-based personnel on bursaries (see paragraph 2.1 (c)) before and/or after an expedition.*

## **8.3 Expedition Member Recruitment**

The recruiting of research expedition members /scientific personnel (e.g. field assistants) is the responsibility of the Principal Investigators at universities or institutions. DEA is responsible for the recruiting of logistics expedition members / logistic support personnel (e.g. radio technicians, medics).

## **8.4 Expedition Members as Public Servants**

When negotiating with potential candidates, Principal Investigators must ascertain whether he/she is a public or semi-public servant, or whether he/she is under any obligation whatsoever towards an employer (i.e. bursary obligations, etc.).

## 9. INTERVIEWS AND MEDICAL EXAMINATIONS

### 9.1 Upon Selection of Applicants

The appointment process should involve DEA to ensure that the team dynamics are understood. Following the nomination of candidate/s, a medical examination will follow.

***Below is a schedule of non-negotiable annual deadlines for the interview and medical screening of over-wintering scientific personnel candidates for SANAP expeditions:***

EXPEDITION	DEADLINE	REMARKS
Antarctica	31 January	Applies to Physicists requiring 1 April appointments
Marion Island	31 October	Applies to Field Assistants requiring 1 March appointments
Gough Island	31 May	Applies to Field Assistants requiring 1 August appointments

No candidates for appointments will be considered outside of this schedule. Principal Investigators are please to ensure strict compliance herewith.

### 9.2 Interview Requirements

All applicants for expedition posts must submit the following to the Principal Investigator:

- Completed Application Form (Z83 from Government Offices may be used)
- Comprehensive CV
- Certified copy of applicant's Identity Document (front page)
- Certified copies of applicant's Educational Qualifications and previous service records
- Signed Personal Credential Verification Authority Form for the verification of South African ID number, national status, criminal record and qualifications
- Preference must be given to South African citizens
- The appointment of expedition members must take into consideration the transformation imperatives of the country. The NRF, in consultation with DST and DEA reserve the right to realign the appointment of expedition posts if such consideration is not evident.

*All these documents must be received prior to interview and appointment, and medical examination.*

### **9.3 DEA Medical Evaluations**

All relief voyage (takeover) personnel visiting any of the bases must undergo the standard DEA medical evaluation prior to their visit being approved. Appointments will be made on request; alternatively forms are obtainable from the Personnel Officer (see 9.1).

### **9.4 Interview and Medical Evaluation Outcomes**

If more than one applicant is suitable for a particular programme, at least two should undergo medicals to allow for back-up personnel, should an expedition member withdraw. The Principal Investigator must indicate his/her choice in order of preference, as well as when and where the applicant is to assume duty.

## **10. APPOINTMENT OF OVERWINTERING EXPEDITION MEMBERS**

### **10.1 Letters of Appointment**

The institution will issue letters of appointment to expedition members. Universities or Institutions should appoint expedition members in accordance with the guidelines that will be provided to successful applicants, and they may remunerate expedition members directly. These salaries will form part of your SANAP grant.

### **10.2 Salary Scales**

In some cases, expedition members may be appointed on a lower salary scale should they not possess the required minimum qualifications but have proved that they are capable of conducting the required work. This, however, should be the exception and not the rule (e.g. field assistant instead of biologist).

### **10.3 International Qualifications**

Qualifications that were obtained abroad must be submitted by the Principal Investigator for evaluation by the Human Sciences Research Council (HSRC). The HSRC report should be included with the candidate's application documentation.

### **10.4 Expedition Salary Review**

All expedition salaries will be reviewed annually. **All salaries, allowances and bonuses are taxable.**

### **10.5 Expedition Member Start Dates**

Once the expedition member appointment has been approved, Principal Investigators must indicate the date on which expedition members assume duty. This also applies to the date of completion of his/her duties – for the contract to be terminated.

Expedition members are normally appointed for a period of 14 – 24 months. This may or may not include a period of training before departure and/or a period thereafter for the writing up of results.

*In the case of expeditions to SANAE it is desirable, where possible, to remain within the limits of a financial year. This means that if an expedition member leaves for the expedition in December 2009, he/she must assume duty on 1 April 2009 at the earliest, and have written up his/her results by 31 March 2011.*

## **10.6 Financial Management**

All expedition members must be urged to make arrangements pertaining to the management of their **finances** during their absence and must obtain deferment from the Receiver of Revenue for submission of income tax returns or any other legal requirements (compulsory new driver's license, voting rights, etc).

## **11. Subsistence and Travel**

Subsistence and travel for expedition members sent to other centres for project-related courses and/or training **should be budgeted for accordingly.**

All expedition members are obliged to attend **team training** which takes place in Cape Town (about 2½ weeks in total) – *time frames subject to change.* **S&T must be budgeted for accordingly.** Expedition members and Principal Investigators will be notified as to when the expedition members are to report for training in Cape Town prior to a voyage.

Subsistence and travel to enable returning expedition members to return to their centres/home towns after an expedition **must be budgeted for.**

## **12. LEAVE**

Principal Investigators are responsible for keeping leave records of their expedition members, while they are based at a University or Institution prior to or after a relief voyage, all leave taken must be accounted for shortly before the termination of an expedition member's contract.

Expedition members are entitled to 22 working days per year vacation leave (excluding weekends and public holidays, e.g. leave applied for from a Friday to the following Monday thus excludes Saturday and Sunday, and the applicant should complete a leave form for two days only).

Principal Investigators will be informed of any leave that is granted by DEA to expedition members (e.g. during team training in Cape Town prior to departure) in order for an accurate

leave record to be kept at all times. It must be ensured that expedition members are not granted more leave than they are entitled to at any given time during their employment.

Any leave accumulated over the contract period will be paid out in the form of a gratuity at the expiration of his/her contract.

### **13. BENEFITS**

The expedition member receives an **allowance** equal to 37% of his/her salary, in lieu of service benefits (i.e. pension, medical aid, birthday bonus, etc.).

The **expedition bonus** payable to an expedition member is excluded from the total salary package that will be allocated. After the expedition, if the expedition member has satisfactorily completed his/her duties, the Principal Investigator must recommend the payment, reduction or non-payment of his/her expedition bonus. Performance throughout the year must be monitored (in writing) to warrant a request for the reduction or non-payment of this bonus. **In cases where a reduction of the bonus is recommended, the expedition member may address representations to the principal investigator.**

In determining the bonus or portion of the bonus to be paid, scientific achievement, as well as performance of household and other duties should be taken into account (annual assessments of each overwintering expedition member by the Team Leader are submitted for filing by the Principal Investigators).

No daily allowances and / or takeover bonuses are payable to scientific relief voyage (takeover) personnel.

Expedition members and relief (takeover) personnel are responsible for taking out their own insurance policies.

DEA's medical and dental examination costs pertaining to research expedition members must be budgeted for.

### **14. HOME-BASED PERSONNEL (BURSARY STUDENTS)**

In the case of University programmes, home-based personnel (bursary students) are regarded as University personnel for all intents and purposes. Appointments will be on a bursary basis, awarded by the NRF.

## 15. DEA STORE AND OTHER MATTERS

DEA is responsible for the acquisition of all logistic requirements. Applicants are responsible for their own scientific purchases out of their respective grants. The **Projections Form** (DEA Form – Projections 2018 attachment) must detail all **logistic requirements** for scientific programmes, which must be uploaded as part of this application.

A DEA **SANAP3 voyage participation form** will need to be completed on an annual basis in terms of all logistic requirements for each voyage. Contact DEA to obtain necessary forms.

Before purchasing any electrical equipment for use at any of the bases, it is advisable to contact DEA in order to determine whether the power supply will be compatible to the new equipment to be purchased. The power requirements (output) must also be indicated on the **DEA- Logistic Support form** (DEA Form – Logistics Support 2018 attachment), which must be uploaded as part of this application.

All cargo (equipment, supplies, etc.) for scientific programmes must be delivered to DEA's SANAP Store, Cape Town at least **14 days** prior to the estimated date of departure of the expedition to facilitate customs clearance.

The transport costs for scientific cargo to and from Cape Town and the University or Institution before and after a voyage **must be budgeted for in the grant application**.

All cargo must be securely packed. For easy handling, DEA predominantly uses plastic bins and specially designed steel containers for transportation of cargo on board the ship and offloading by helicopter. The use of plastic or polystyrene chips packing material is prohibited.

Principal Investigators are responsible for purchasing their own crates, but must advise DEA how many containers will be required.

Principal Investigators must arrange for the packing of their containers at the SANAP Store (usually done by expedition members) – DEA is not responsible for packing scientific cargo.

An official packing list (electronic or hard copy available from DEA), with the following particulars, **MUST** accompany each crate/package which is dispatched to DEA:

- Contents (detailed description)
- Cubic Measurements
- Mass
- Value

The fully completed list **MUST** be submitted to DEA for customs clearance and your own insurance purposes. In the event of loss or damage, no claims will be considered if this list has not been received.

Each crate/package must be stenciled neatly in black and addressed as follows:

**The DCO (DEA) (SANAE/MARION/GOUGH)**

**Directorate: Antarctica and Islands**

**Department of Environmental Affairs**

**East Pier Shed**

**East Pier Road**

**V&A Waterfront**

**CAPE TOWN 8000**

*(subject to change)*

Should Principal Investigators wish to send crates/packages to the DEA's Pretoria office (for transportation to Cape Town with any Pretoria-based overwintering team's goods), the address is:

**DEA for (SANAE/MARION/GOUGH)**

**Department of Environmental Affairs**

**Directorate: Southern Ocean and Antarctic Support**

**Fedsure Forum (Room 233 – North Tower)**

**315 Pretorius Street**

**PRETORIA 0002**

DEA will ensure that all cargo delivered to the SANAP Store is dispatched to the ship. Should any crates require special attention, DEA will make all the necessary arrangements, if notified beforehand, but the Principal Investigator should endeavour to have someone from the programme present to supervise the loading of these crates.

Principal Investigators are requested to ensure that crates (“trommels”) being returned from a base, are correctly consigned/addressed by their expedition members. DEA will clear the cargo from ship to shore and will dispatch it to the destination indicated on the crates for the Principal Investigator’s cost.

Arrangement for special permits and/or transport, e.g. refrigerated trucks, is the responsibility of the Principal Investigator. In exceptional cases, DEA will assist programmes in procuring the necessary permits/transport.

## 16 FINANCIAL MATTERS

### PLEASE NOTE:

The NRF online application form budgets need to include all items and activities included in the DEA prescriptions (medical exams etc), as well as the logistic items not covered by DEA.

### 16.1 Logistics Support (*provided by DEA*)

The following logistics costs for all SANAP-supported projects will be provided by DEA (subject to annual review):

- Transport on board the *SA Agulhas II* to and from the 3 stations in 3 relief voyages ONLY per year, namely  
SANAE IV (Antarctica): December to February,  
Marion Island\*: April to May, and  
Gough Island: September to October

*\* In the case of expeditions to Marion Island, the planning phase of the relief voyage/expedition needs to be budgeted for, even though the voyage may depart on or after 1 April (beginning of new financial year).*

- Accommodation on board the *SA Agulhas II* and at the 3 bases. This may not exceed the maximum number of persons permitted at each station (project leaders may be requested to cut down on personnel if there are too many participants)
- Food on board the *SA Agulhas II* and at the 3 bases in accordance with the standard DEA food list (any special dietary requirements must be indicated, and will be catered for, within reason, e.g. Halaal, vegetarian, etc.)

- Protective clothing in accordance with the standard DEA clothing list
- Air support for offloading of personnel and cargo (i.e. transport costs for all scientific personnel, equipment and supplies from the SA Agulhas II to the various bases and back to the ship)
- Standard DEA containers (orange) for equipment and supplies – dimensions = 2.5m (L) x 1.5m (W) x 1.0m (H), and maximum weight per container = 1 000 kg
- Dispatching containers from store to ship prior to each voyage and from ship to store after each voyage
- Hut accommodation at Marion Island (in accordance with a schedule determined by the Science Coordinator)
- Hand-held radios to all group leaders participating in relief voyages
- Satellite communication network on the ship and at the bases (but individuals will be charged for use of telephone, fax line, e-mail and internet services) these services will be provided as a best effort delivery as there are limitations and constraints on the infrastructure and technologies used.
- Limited office and laboratory space at each station, including network/power points, etc.
- DEA will conduct search and rescue and cover evacuation costs in the case of medical emergencies only (NOT any other evacuation costs). It must be noted that a claim will be lodged against the insurance of the evacuated party and the onus will be on the evacuated party to follow through on the reimbursement of DEA from the insurance company for the cost incurred in the evacuation process.
- Medical and dental treatment and assistance (during relief voyages and overwintering expeditions)
- Standard medical equipment and supplies

- Darkroom (excluding chemicals) and recreational facilities (gym, pool table, etc.) at each station
- DEA will cover costs incurred during team training (i.e. for non-project related courses) prior to each voyage, e.g. first aid, cooking classes, firefighting, tea/coffee, farewell lunch. S&T must however be budgeted for by the Principal Investigators.
- Arrangement of medical and dental examinations for all research and logistics expedition members will be made by the DEA, the costs will however need to be budgeted for by the Principal Investigators
- All camping and hiking equipment must be provided for by the Principal Investigators and be budgeted for accordingly. DEA can make a facility available for the storage thereof, but will not bear the risk of loss.

***IMPORTANT POINTS TO NOTE:***

- ALL overwintering and relief personnel **MUST** have passports valid for at least 3 months after the intended return of the relief voyage/overwintering expedition). The ship **WILL NOT** be delayed if passports are not valid and the person/s will not be able to participate in the voyage.
- Principal Investigators and their personnel are requested to make all arrangements with the DCO (DEA). No special or private arrangements with the ship, helicopter or other personnel may be made.
- Logistic support must be rendered by all participants (there will be no exceptions), during offloading and back-loading, packing and unpacking of containers, or as required by the DCO (DEA) during a relief voyage.
- In Antarctica and on Marion and Gough Islands, the NDPW provide funds and is responsible for the construction and maintenance of all buildings and services (power supply, etc.). However, DEA remains responsible for all activities on the Islands and therefore all contact with the NDPW should be made through the DCO (DEA) of each voyage.
- For any field work in Antarctica (i.e. away from established GPS routes for more than one day), previous Antarctic field operations experience is mandatory. **If nobody within the field party has such experience, it is the principal investigator/grant holder's responsibility to source and fund such expertise and include said in field party.**

Applicants can consult DEA for assistance with identifying possible field operators where necessary.

## **16.2 Research Budget Online**

Applicants are required to take into consideration all items to be budgeted for in the budget section of the NRF online application form (including all travel and S&T for DEA training sessions). The following items should also be included in the budget:

### **Included under running costs:**

- **Transport costs** for all scientific equipment and supplies from the various Universities/Institutions to and from Cape Town (SANAP Store) for relief voyages
- **Specialised or additional clothing** requirements not on the standard DEA clothing list
- **Specialised or additional equipment** and/or supplies required for base and fieldwork
- **Specialised or additional food** requirements
- **Specialised camping and hiking equipment** and supplies
- **Extensive air support not forming part of the resupply programme**
- **Route deviations** of the *SA Agulhas*
- **All research or scientific equipment AND the maintenance thereof**

### **Included under travel costs:**

- Travel and subsistence (S&T) costs (including air (economy class) bus tickets; taxi/car hire/shuttle; accommodation (up to 3-star) and food/daily allowance) for:
- Interviews of ALL research expedition members (1) at the University or Institution
- ALL participants (including research overwintering expedition members) to and from Cape Town prior to and after the voyage they are participating in
- ALL overwintering research expedition members to attend team training sessions in Pretoria and Cape Town (about 2½ weeks in total) prior to the voyage they are participating in (time frames are subject to change)
- ALL project-related training and courses required

### **OWN ARRANGEMENTS TO BE MADE IN ALL CASES.**

### **Guiding principle for the Research Budget Preparation**

The DEA has a mandate to resupply the base ensure that the maintenance is conducted and the team is trained. It is imperative that every activity that is not part of the resupply process, including flights be budgeted for and the costing model be completed in as much detail as

possible. If the DEA does not require a piece of equipment in performing the resupply mandate it has, it is the responsibility of the Principal Investigator to budget for the equipment required by the project. In preparing for relief voyages it is important to note the following in calculating space.

	<b>Marion</b>	<b>Gough</b>	<b>SANAE</b>
DEA Logistics	10	7	19
<b>DEA Long Term Monitoring (Ship based)</b>	<b>5</b>	<b>3</b>	<b>6</b>
<b>DEA Long Term Monitoring (Shore based)</b>	<b>2</b>		<b>2</b>
Helicopter Crew	12	12	12
Overwintering Team	22	9	10
NDPW	11	9	11
SAWS	2	2	2
SANSA	1		3
Other Passengers		40	
<b>SANAP Funded (Ship Based)</b>	<b>10</b>	<b>4</b>	<b>25</b>
<b>SANAP Funded (Shore Based)</b>	<b>25</b>	<b>14</b>	<b>10</b>
<b>TOTAL</b>	<b>100</b>	<b>100</b>	<b>100</b>

The above berth allocations exclude the overwintering expedition members and could change during the need for construction voyages.

**Applicants are REMINDED that there are 4 additional DEA forms that must be uploaded to the application template on NRF online. Applications not including the required attachments will be rejected by the NRF and will not be considered for adjudication. The 4 mandatory forms are listed below:**

- Ethics form**
- Environmental form**
- Logistics Support form**
- Costing Model**

## **SECTION 3 ENVIRONMENTAL IMPACT ASSESSMENT PROCESSES AS MANAGED BY THE DEPARTMENT OF ENVIRONMENTAL AFFAIRS, DIRECTORATE: INTEGRATED ENVIRONMENTAL AUTHORISATIONS (D: IEA)**

***NB1: Please note that the uploaded preliminary Environmental Impacts form mentioned above must be completed in respect of your application.***

***NB2: The Environmental Impact Assessment (EIA) process below should only be followed (if applicable) AFTER your SANAP-proposal has been approved by the NRF/DST assessment process***

***NB3: No activity may commence without the necessary environmental authorization from DEA***

### **17. INTRODUCTION**

All Principal Investigators (PIs) must ensure that their SANAP-approved project complies with the relevant environmental legislation applicable to SANAP's operational areas in Antarctica, at the Prince Edward Islands (comprising Marion and Prince Edward) and on Gough Island (under the United Kingdom's Tristan da Cunha administration).

- The environmental process should only be embarked on AFTER your proposal has been approved by NRF/DST (the approval of a proposal is thus NOT subject to the environmental process already having being completed).
- This process should, however, be kept in mind when formulating your proposal, especially if you wish to appoint an Environmental Assessment Practitioner (EAP) to complete any required EIA application/s on your behalf, which you will need to budget for.
- Advice, forms and templates for environmental process applications are available from the D: IEA.

### **18. PROJECTS IN ANTARCTICA**

Annex I (EIA) of the Protocol on Environmental Protection (PEP) to the Antarctic Treaty (Madrid Protocol) applies to ALL projects with NEW activities that will impact on the environment in Antarctica, *e.g. new hatch, new antenna array, field work, drilling, etc.*

There are 1-3 steps that will need to be followed:

### **18.1 Step 1 - PRELIMINARY ENVIRONMENTAL ASSESSMENT (PEA)**

All SANAP-approved projects to complete a PEA and submit to the D: IEA for consideration:

→ If the impact of the activity on the environment is deemed “less than minor or transitory” DEA will advise that the project may proceed

→ If the impact of the activity on the environment is deemed “minor or transitory”, DEA will advise the PI to proceed to Step 2

### **18.2 Step 2 - INITIAL ENVIRONMENTAL EVALUATION (IEE)**

If advised by DEA, complete and submit an IEE to the D: IEA for consideration:

→ If the activity is deemed to have a “minor or transitory” impact on the environment, a “Decision on the IEE” (with or without conditions) will be issued by DEA

→ If the activity is deemed to have a “more than minor or transitory” impact on the environment, DEA will advise the PI to proceed to Step 3

### **18.3 Step 3 - COMPREHENSIVE ENVIRONMENTAL EVALUATION (CEE)**

If advised by DEA, complete and submit a draft CEE to the D: IEA for consideration:

→ DEA will forward the draft CEE to the Committee for Environmental Protection (CEP) for consideration at the annual Antarctic Treaty Consultative Meeting (ATCM), usually held in May/June, in respect of all activities that have a “more than minor or transitory” impact on the environment

→ Prepare final CEE for submission to CEP/ATCM

→ DEA will advise on the ATCM's decision

## **19. PROJECTS AT THE PRINCE EDWARD ISLANDS (MARION AND PRINCE EDWARD)**

As the Prince Edward Islands are South African territory, a Special Nature Reserve (SNR) and RAMSAR Wetland Site of International Importance, the National Environmental Management Act, Act No. 107 of 1998 (NEMA) and its 2014 EIA Regulations apply to ALL projects with

activities that are LISTED under Listing Notices 1, 2 or 3 of these Regulations, e.g. *development of masts or towers, permanent structures on or along the sea bed, etc.*

**NB:** *Even if an activity is NOT listed, NEMA's Section 28 "Duty of Care" applies at all times.*

**\*Please note:**

***All oceanography and offshore projects are requested to check whether any of the work they are undertaking is contained in Listing Notices 1, 2 or 3***

## **19.1 BASIC ASSESSMENT REPORT (BAR)**

Applies to activities listed in Listing Notices 1 and 3 (*likely for SANAP projects, especially Notice 3 which is applicable to Protected Areas, e.g. SNR*):

- Application Form
- Proceed with public participation process (PPP)
- Draft BAR (including initial PPP comments) and draft Environmental Management Programme (EMPR) to DEA and PPP, for comments to applicant
- Final BAR and EMPR (remains live document) for DEA decision

## **19.2 SCOPING AND ENVIRONMENTAL IMPACT ASSESSMENT REPORT (EIR)**

Applies to activities listed in Listing Notice 2 (*unlikely for SANAP projects*):

- Application Form
- Proceed with PPP
- Draft Scoping Report, Plan of Study for EIR and EMPR (including initial PPP comments) to DEA and PPP, for final comments to applicant
- Final Scoping Report, Plan of Study for EIR and EMPR (remains live document)
- Draft EIR
- Final EIR for DEA decision

**NB:** *For listed activities at Marion and Prince Edward, in your application, you can apply to DEA for approval to deviate from certain provisions of the public*

***participation process (PPP) or to downgrade the application from a Scoping and EIR to BAR. This decision rests with DEA.***

### **19.3 PERMITS/EXEMPTION**

In accordance with Section 45 of the National Environmental Management: Protected Areas Act 57 of 2003), exemptions must be granted by the Minister of DEA (or his/her delegate) to access a SNR, along with the necessary permits that are applied for.

Once your project is approved, kindly ensure that the necessary Permit/Exemption application form (per group for all participants) is submitted, at the same deadline as the required SANAP3 voyage participation form, as follows (if applicable):

- One application per relief group/project (align with SANAP3), e.g. relief “sealers”
- One application per overwintering group/project, e.g. overwintering “sealers”

### **20. PROJECTS AT GOUGH ISLAND**

As Gough Island is a World Heritage Site, all scientific activities need to be endorsed by the Administrator of Tristan da Cunha.

### **21. DEADLINES**

Once your project has been approved:

**Antarctica:**

Please submit your PEA form to the D: IEA by no later than **30 June** (for voyages in December)

**Prince Edward Islands:**

Please submit your Application Form for any Listed Activities **as soon as possible** – applications take 2-12 months to process and sufficient time should be kept in mind to allow for the finalisation of possible appeals (under South African EIA legislation).

### **22. GENERAL**

Kindly ensure that you complete and/or adhere to the environmental documentation required for participation in each voyage, e.g. Gear Checks, Conservation Certificate, etc.

## **23. DEA (D: IEA) CONTACT DETAILS**

You are welcome to contact DEA for guidance and/or advice on environmental aspects:

Carol Jacobs / Danie Smit  
Directorate: Integrated Environmental Authorisations (DEA)  
Private Bag X 447  
PRETORIA  
0001

Tel: 012 399-9397 / 9394

E-mail: [cjacobs@environment.gov.za](mailto:cjacobs@environment.gov.za) / [dsmit@environment.gov.za](mailto:dsmit@environment.gov.za)