



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

KNOWLEDGE FIELDS DEVELOPMENT

Framework Document

April 2014

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SECTION 1 RESEARCH SUPPORT

1 FUNDING INSTRUMENT TITLE AND DESCRIPTION

1.1 Name

SOUTH AFRICAN NATIONAL ANTARCTIC PROGRAMME (SANAP) FUNDING INSTRUMENT

1.2 Description of Funding Instrument

The South African National Antarctic Programme (SANAP) is a region-specific funding instrument which supports research in the Southern Ocean, including the islands, and in Antarctica. The SANAP funding instrument is not theme driven, and will support research applications across the following 6 broad scientific / scholarly areas, namely Earth Sciences; Engineering Sciences; Life Sciences; Physical Sciences; Oceanographic Sciences; and the Social Sciences, Law and Humanities.

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

- **Research in the geographic region of Southern Ocean, including the islands, and / or in Antarctica**
- **Scientific merit and quality of the research proposal**
- **Evidence of associated human capacity development**

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.

Historically, the mission and vision of the SANAP rested under the administration of the Department of Environment Affairs and Tourism (DEAT). In 2003, Cabinet approved the transfer of the scientific research functions of SANAP from DEAT to

DST. The newly formed Department of Environmental Affairs (DEA) however retains responsibility for the logistics and infrastructure, while the NRF is the agency responsible for grant making on behalf of the DST.

The Research and Development Strategy (2002), details three operational objectives, namely

- achieving mastery of technological change in the economy and society
- increasing investment in human capital and transformation
- creating alignment and delivery

It also outlines the basic principles that underpin government support for scientific programmes, namely that the programme contributes towards social or economic goals and that the programme is potentially world class.

On this basis, the DST had identified five areas for long-term research, commensurate with additional funding, which represent a comparative geographic advantage for South Africa. These are the following: Astronomy and Earth Observation, Indigenous knowledge, Bioscience/bio-resources, Palaeontology and Antarctica and the Southern Ocean, including the Islands.

Strategic considerations which underpin the vision and mission of SANAP include:

- Identifying and exploiting comparative advantage in both commercial and research opportunities that involve industry.
- The participation of a critical mass of scientists in the programme, both in terms of demographic diversity and from scientific disciplines previously not represented or active in Antarctica related research

The importance of South Africa's geographical proximity immediately adjacent to the Antarctic¹, its position as a Southern Ocean² littoral State cannot be

1 *For the purposes of this document the "Antarctic" refers to the region ("Antarctica") south of the Antarctic Polar Front. The Polar Front is deemed to be a line joining the following points along parallels of latitude and meridians of longitude: 50°S 0°; 50°S 30°E; 45°S 30°E; 45°S 80°E; 55°S 150°E; 60°S 150°E; 60°S 50°W; 50°S 50°W; 50°S 0°.*

2 *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.*

overstressed. South Africa also maintains bases at Marion and Gough Islands, administered by 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.

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 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 launched Vision 2015 that aims to promote world-class research, and create a transformed society and sustainable environment.

3.1 Environmental scan

SANAP resonates with the NRF mandate by promoting and supporting research through funding and human resource development. By facilitating the creation of knowledge, the NRF contributes to the innovation and the commercialisation value chain, and hence the socio-economic development and improved quality of life of all the people of the Republic.

3.2 Objectives

The objectives of the funding instrument are:

- To contribute to knowledge production about the Southern Ocean and Antarctica;
- 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 the Southern Ocean and Antarctica.

3.3 NRF Perspective

SANAP is a demand-driven funding instrument that focuses on research activities relating to the Southern Ocean and Antarctica. This is in line with the NRF's view that support for research is an investment in South Africa's learning capabilities. SANAP addresses the NRF Vision 2015, which envisages the following for South Africa:

- World-class research
- Transformed society; and
- Sustainable environment

SANAP directly addresses the following strategic goals of the NRF Vision 2015:

- The promotion of internationally competitive research as the basis for a knowledge economy;
- The growth of a representative science and technology workforce in South Africa; and
- The contribution to a vibrant national innovation system

3.4 Institutional structure

The funding instrument is managed by the Knowledge Fields Development (KFD) Directorate. The Reviews and Evaluation (RE) Directorate is responsible for the review processes up to the award of grants. The Grant Management and Systems Administration (GMSA) Directorate's responsibilities include disbursement of grant funds and ensuring adherence to the conditions of the grant.

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 2015-2017, while concurrently working towards a revised strategic framework for scientific endeavour in Marine, Southern Ocean and Antarctic Research.

As this process involves *inter alia* a reconsideration of the current Antarctic Research Strategy for South Africa (ARESSA), the format of this call is OPEN; and signals a continued departure from the theme-based structure of the ARESSA. The open call is organized across 6 broad scientific/scholarly areas, namely: Earth Sciences, Engineering Sciences, Life Sciences, Physical Sciences, Oceanographic Sciences; and the Social Sciences, Law and Humanities (SSLH).

3.6 Key stakeholders

The key stakeholders involved in SANAP are persons doing research on the Southern Ocean, its islands, and/or Antarctica, and based 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>

2008 National Research Foundation. *NRF Vision 2015: Strategic Plan of the National Research Foundation*, accessed on 10 December 2009. http://www.nrf.ac.za/doc/nrf_vision_2015.pdf>

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

4 MODUS OPERANDI

4.1 Call for proposals

All application materials **must** be submitted electronically via the NRF's Submission system at <https://nrfs submission.nrf.ac.za>

The **NRF closing date** for endorsed applications is **4 August 2014**. All applications **must** be endorsed by the research office of the principal applicant before submission to the NRF. It is the responsibility of each applicant to familiarise himself/herself with the **internal closing dates**, set by institution in order to meet the NRF closing date.

Late or incomplete submissions will not be accepted.

All outputs entered into the NRF Online system were migrated to the current NRF Submission System. When logging onto the NRF Submission system, researchers are requested to verify their outputs on the Landing Page by selecting the type of output under the heading "To be Reviewed" and verifying each output individually until there are none left to be reviewed. These Curriculum Vitae inputs **will be used in all the detailed assessment processes**.

Call opens: 1 July 2014

Call closes: 4 August 2014

Outcome and awards: October 2014

4.2 Eligibility

- Researchers must be doing research on the Southern Ocean, its islands, and / or Antarctica, and be based at 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.

- Successful applicants will be eligible for funding **for three years (2015 – 2017)**.

- 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.

4.3 Application assessment

In general, the NRF's funding decisions are informed by the accumulative grading of the review panels in respect of each assessed application, as per the assessment criteria outlined in **Annexure 1**. The final funding decisions and level of funding are subject to the budget available to the specific programme.

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 occur by way of a two-tiered process:

- **Remote (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, or through appropriate media / means from peers located at remote locations from the NRF.

- **Panel-peer review**

Panels will be broadly constituted to include specialists in such areas as Social Sciences, Law and Humanities; Natural Sciences and Engineering. Panel members will be selected based on their broad overview of the respective knowledge field and their research standing. Panel meetings will be held at central locations or by way of tele- or video-conferencing. Panel members will deliberate on submitted written reviews and will be expected to offer their own expert opinions.

4.4 Rules of participation

a) Principal Investigator

Only researchers based 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 meeting reporting requirements.

A PI **SHOULD 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 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.

Post-doctoral fellows, students, technical and support staff should NOT be listed as co- investigators

The project may also include:

c) Research Associates / 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.

4.5 Timelines

SANAP will be awarded for a period not exceeding **THREE YEARS (2015 – 2017)**. Student commitments will be honoured beyond 2017 as long as all NRF grant conditions are fulfilled.

4.6 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 as and where appropriate;
- providing feed-back as appropriate; and
- awarding of grants

The GMSA Directorate is responsible for

- Managing the call process, that is,
 - Posting the call;
 - Receiving and assessing applications eligibility;
- Coordinating and facilitating the granting processes
- Managing the granting including the administration of awards;
- Administering grant payments; and
- Ensuring adherence to conditions of grants

4.7 Lines of authority

The funding instrument Director in the KFD Directorate generally manages SANAP with the assistance of a Professional Officer. Where and when appropriate, a call may be managed by a specially appointed Project Leader supported by Project team of staff drawn from RE, GMSA; Knowledge Management and others. The Director responsible for this instrument reports to the Executive Director of the KFD Directorate. Directors from GMSA and RE will normally manage the granting and review processes, respectively with the assistance of Professional and Liaison Officers. The Directors in both the GMSA and the RE report to their respective Executive Directors

5 FINANCIALS

5.1 Funding model

The grants of this funding instrument are to be primarily used for **research purposes** and development of associated human resources under the auspices of the NRF standard grant and finance policies. The money is released upon acceptance of the conditions of grant, both by the applicant and his/her employing institution. These grants will fall under 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.

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) Research-related operating costs, including:
 - Sabbaticals
 - Materials and Supplies
 - Travel and subsistence
 - Research / Technical / *Ad hoc* Assistants
 - Research Equipment

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.

GRANT HOLDER-LINKED STUDENT SUPPORT

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 not be guided by, but not governed by, equity targets.

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

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

Postdoctoral fellowships will not be governed by citizenship targets, and remain open to all who undertake research in South Africa.

Values of Student Assistantships

- Honours / BTech (Full-time) R30 000 pa

ALL South African citizens are eligible to apply.

The maximum support period for Honours/BTech students is 1 year.

Values of Bursaries & Fellowships

- Masters degree (Full-time) R40 000 pa
- Doctoral degree (Full-time) R65 000 pa
- Postdoctoral (*pro rata* per month) R150 000 pa

The maximum support period for a Masters student is 2 years.

The maximum support period for a Doctoral student is 3 years

The maximum support period for a Postdoctoral fellowship is 2 years.

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 amount awarded within this framework **can be used at the discretion of the applicant**.

GENERAL GUIDELINES

Materials and Supplies

Generally, the NRF **does not** provide financial support for:

- Basic office equipment including computers and consumables unless the computer is required for the research itself or the applicant/team member is based at a museum.
- Basic office stationery, photocopying costs, printing costs unless these items form part of the research tools or the applicant/team member is based at a museum.
- Journal publication costs, journal subscription costs, book costs unless the applicant / team member is based at a museum.
- Telephone, fax and internet costs unless the applicant / team member 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 depending on the 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 motivate for:

- 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 costs should not exceed a three-star rating establishment, per night per person.

Research / Technical / Ad hoc Assistants

NB: In the SANAP programme, a distinction must be made between home-based technical assistance and expedition member technical assistance.

(Please refer to the budget guidelines in SECTION 3 of the guide for more details.)

- The NRF **does not pay for any salaries.**
- Requests for research / technical / *ad hoc* assistance should be treated judiciously. Generally the NRF would encourage 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.**

STAFF DEVELOPMENT GRANTS

Grant-holders may apply for Staff Development grants for South African staff members, who are not grant-holders in their own right, at their own or other institutions. These staff members **must** be registered for Masters or Doctoral degrees and be supervised by the grant-holder or a team member. 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.

Grant holders themselves are not eligible for Staff Development Grants.

The maximum period of support is **three years for a Masters** degree and **up to five years for a Doctorate** from a valid grant.

FUNDING TO CATER FOR DISABILITIES

Additional funding support to cater for disability will only 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. Grantholders 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 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 NRF. RISA will determine and set timeframes for the review, when deemed appropriate, or in line with existing guidelines.

6.3 Broad terms of reference for the programme review

The broad terms of reference for the programme review of SANAP will be determined by RISA with preliminary input by the KFD Directorate, and in consultation with the RE Directorate.

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. Evaluation results will also be used for funding instrument improvement and development.

QUERIES

REFER ALL QUERIES TO:	
Name	TRACY KLARENBECK
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ACRONYMS

ARESSA	Antarctic Research Strategy for South Africa
DEA	Department of Environmental Affairs
DEAT	Department of Environmental Affairs and Tourism
DST	Department of Science and Technology
GMSA	Grant Management and Systems Administration
KFD	Knowledge Fields Development
NRF	National Research Foundation
PI	Principal Investigator
R&D	Research and Development
RE	Reviews and Evaluation
RISA	Research and Innovation Support and Advancement
SANAP	South African National Antarctic Programme

ANNEXURE 1

Annexure 1: Panel Assessment Scorecard					
South African National Antarctic Programme					
Criteria	Sub-Criteria	Details	Score / 4	Weight (Total = 100%)	Weighted score (Total = 4)
Ethics	Ethical research	If relevant, have ethical considerations been addressed? ³		0%	Hurdle
Proposal	Alignment with funding instrument	Does the proposal meet the objectives of the funding instrument?		0%	Hurdle
	Scientific merit and feasibility	Reflect on the scientific/scholarly objectives. Has knowledge of relevant literature been articulated? Are the approach and methods suitable to the research objectives? Is the research well-planned and achievable within the stipulated timeframes?		50%	0.00
Track record of applicant	Past students (graduated)	M and D degrees.		6%	0.00
	Past research	Publications, patents, designs, performances, etc.		6%	0.00
Equity and redress	Of applicant	Black Female = 4 Black Male, young ⁴ = 4 Black Male, not young = 3		5%	0.00

³ Ethical considerations and clearances for grant proposals are the responsibility of the research institute and/or institution of the applicant. Where such ethical considerations and clearances are required, grant applicants will be expected to submit to the NRF signed statements and/or copies of clearance certificates before any grant funds are released.

⁴ Young is defined as 5 years post PhD / post first academic appointment

		White Female, young = 3 White Female, not young = 2 White Male, young, =2 White Male, not young = 1.			
	Of students supervised	M and D degrees.		5%	0.00
Collaboration	With other individuals (Do they add value?)	This will include collaborations at both an international and national level. Are the roles of these collaborators clearly indicated in the proposal?		2%	0.00
	Within a team (Is it appropriate?)	Are the roles of these team members clearly indicated in the proposal?		3%	0.00
Impacts	Expected research outputs	Scientific products, e.g., publications, patents, etc. relevant in each case.		5%	0.00
	Impact on knowledge production/field	How does the research advance discovery and understanding in the field?		10%	0.00
	Human and Research Capacity Development	Are students appropriately embedded in the research proposal? Will the proposed research further the academic development of junior researchers?		5%	0.00
	Plans for digital data storage, usage and/or dissemination	If relevant, are the proposed plans appropriate?		5%	0.00
Totals				100%	0.00

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	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 particular emphasis on the scientific/scholarly merit
<p>Context:</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>		

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 are administered by DEA, but the applicable salary scale/s 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.
- **PEIMC** - Prince Edward Islands Management 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 with salaries administered by DEA.
- (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. DEA INTERVIEWS AND MEDICAL EXAMINATIONS

9.1 Upon Selection of Applicants

Once the Principal Investigator has chosen applicants, DEA must be contacted to make the necessary arrangements for the Departmental interviews in Pretoria.

Appointments as expedition members are subject to confirmation by DEA. Following confirmation, a medical examination will follow immediately after the interview. **Early arrangements for the interviews and medicals with the Personnel Officer of the Directorate: Southern Ocean and Antarctic Support (DEA) are essential – Susan Vosloo at tel. (012) 310-3570 or e-mail: SVosloo@environment.gov.za** 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. No correspondence will be entered into with regard to the decision of DEA in respect of candidates deemed to be unsuitable.

9.2 Interview Requirements

Universities or Institutions wishing to nominate applicants for interviews must submit the following to DEA:

- Completed Z83 Application Form (available from all Government Offices)
- 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
- Note: Preference will be given to South African citizens

All these documents must be forwarded to DEA prior to making the arrangements for an interview 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

As soon as the results of the DEA interview and medical examination are available, the Department will notify the Principal Investigator as to the outcome. 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

DEA will issue letters of appointment to expedition members. Universities or Institutions do not appoint expedition members and they may not remunerate expedition members directly. *These salaries will form part of your SANAP grant and are determined and administered by DEA. Total amount will be claimed back from DST/NRF on an annual basis.*

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 when sent to DEA.

10.4 Expedition Salary Review

DEA will review expedition salaries whenever the Civil Service receives general salary increases. **All salaries, allowances and bonuses are taxable.**

10.5 Expedition Member Start Dates

Once the expedition member has been approved by DEA, Principal Investigators must indicate the date on which expedition members assume duty to the Personnel Officer. This also applies to the date of completion of his/her duties - the contract will be terminated by DEA on this date.

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 licence, 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, and must advise DEA of the total leave taken 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. one week between team training in Pretoria and 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 to DEA. 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 DEA.**

In determining the bonus or portion of the bonus to be paid, DEA takes scientific achievement, as well as performance of household and other duties into account (annual assessments of each overwintering expedition member by the Team Leader are submitted to DEA). The decision of DEA in this regard will be final.

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 examinations costs pertaining to research expedition members will be included in the salary package and need not be budgeted for separately.

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** must detail all **logistic requirements** for scientific programmes.

A DEA **SACAR3 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**, 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 stencilled 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.

SECTION 3 BUDGET GUIDELINES

Applicants are required to fill in their full budget needs on the *budget section* of the NRF-Online application template.

Please note that NRF-Online 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. FINANCIAL MATTERS

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* 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* and at the 3 bases within 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* 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* to the various bases and back to the ship), AND deployment in the field (as required, within limits) at the 3 stations

- 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)
- Limited office and laboratory space at each station, including network/power points, etc.
- Limited camping and hiking equipment, e.g. backpacks, gas stoves, etc.
- Search and rescue and evacuation costs in the case of medical emergencies only (NOT any other evacuation costs)
- 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
- R 2000 allowance for all research and logistics overwintering expedition members (including field/research assistants, researchers). These costs form part of the salary packages
- All 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.

- Arrangement of medical and dental examinations for all research and logistics expedition members (costs form part of the salary package and will be claimed back from NRF)
- Arrangement (NOT costs) of medical examinations for relief personnel (on request)
- EARTH SCIENCES (Antarctic summer season):
 - Air support, tents and camping equipment, food, hand-held and field (TR48) radios, skidoos (overland transport) and medical supplies
 - Up to a maximum of 3 skidoos and 3 tents per summer season
 - Route reconnaissance (ice recce)
 - Fuel depots
 - Daily safety monitoring (radio scheds)
 - Collection of samples, waste, etc.
- OCEANOGRAPHERS (Ship-based research):
 - Routes to be pre-approved by DEA
 - Maximum number of participants (annual Marion relief voyage) = 20 (subject to change) OR alternatively subject to availability
 - Maximum dedicated sea-time available (annual Marion relief voyage) = 14 days (subject to change) OR alternatively subject to availability
 - Existing laboratory space on board the *SA Agulhas* (no equipment or supplies)
- PRINCE EDWARD (subject to approval of the Prince Edward Islands Management Committee):
 - Not more than 1 visit every 4th year, for up to 8 days, for a maximum of 10 persons (as specified by the Prince Edward Islands Management Plan)
 - Air support, tents and camping equipment, food, hand-held and field (TR48) radios and medical supplies

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 on NRF-Online (including all travel and S&T for DEA training sessions). The following items should also be included in the budget:

Included under running costs:

- **Medical examinations** at R 4 000.00 per person must be budgeted for, in accordance with prescribed DEA format for ALL relief voyage (takeover) personnel. Applicants may use own medical practitioner, but examinations must be in accordance with prescribed format. DEA will arrange for medical examinations on request.
- **Transport costs** for all scientific equipment and supplies from the various Universities/Institutions to and from Cape Town (SANAP Store) for relief voyages
- **Advertising costs** for recruitment of research expedition members
- **Personal** medication and supplies
- **Evacuation costs** (other than medical emergencies)
- **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**
- **Route deviations** of the *SA Agulhas*
- All research or scientific equipment AND the maintenance thereof
- Telephone calls, faxes, e-mail and internet services from each station

- **EARTH SCIENCES** (Antarctic summer season):
Maps
- **OCEANOGRAPHERS** (Ship-based research):
Technicians and technical support for ship-based research
Supply and maintenance of scientific equipment and supplies on board the ship
- **Fee for services of an experienced Antarctic field guide/operator** for any field work in Antarctica (i.e. away from established GPS routes for more than one day). Applicants can consult DEA for assistance with identifying potential field operators.
- **Fee for services of an Environmental Assessment Practitioner (EAP)**, should your project need to undergo the environmental impact assessment.

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 AND (2) in Pretoria or Cape Town (as each expedition member must be approved by DEA)
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.

Applicants are REMINDED that there are 4 additional DEA forms that must be uploaded to the application template on NRF online. The 4 mandatory forms are listed below:

Ethics form
Environmental form
General form
Projections form

SECTION 4 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 form mentioned above must be completed in respect of your application.*

NB2: *The 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 and at the Prince Edward Islands, comprising Marion and Prince Edward.

- This 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 (Environmental Impact Assessment) 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 EVALUATION (PEE)

All SANAP-approved projects to complete a PEE and submit to the D: IEA of DEA 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)

As advised, complete and submit an IEE to the D: IEA of DEA 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)

As advised, complete and submit a draft CEE to DEA for consideration:

→ DEA advise and forward the revised 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, the National Environmental Management Act, Act No. 107 of 1998 (NEMA) and its Environmental Impact Assessment (EIA) Regulations apply to ALL projects with activities that are LISTED under Listing Notices 544, 545 and 546 of the NEMA EIA Regulations, *e.g. construction of facilities or infrastructure, etc.*

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

19.1 BASIC ASSESSMENT REPORT (BAR)

Applies to activities listed in Listing Notice 544 and 546 (*likely for SANAP projects, especially Notice 546 which is applicable to Special Nature Reserves*):

- Submit Application Form to DEA – DEA will accept or reject
- If accepted, commence public participation process (PPP)
- Submit draft BAR (including initial PPP comments) and draft Environmental Management Programme (EMPR) to DEA and PPP for comments to applicant (no DEA decision)
- Submit final BAR and EMPR (remains live document) to DEA – DEA decision

19.2 SCOPING AND ENVIRONMENTAL IMPACT ASSESSMENT REPORT (EIR)

Applies to activities listed in Listing Notice 545 (*unlikely for SANAP projects*):

- Submit an Application Form to DEA – DEA will accept or reject
- If accepted, proceed with PPP
- Submit draft Scoping Report, Plan of Study for EIR and EMPR (including initial PPP comments) to DEA and PPP for final comments to applicant (no DEA decision)
- Submit final Scoping Report, Plan of Study for EIR and EMPR (remains live document) to DEA – 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.*

20. DEADLINES

Currently, the deadlines for the submission of all EIA applications are the same as the SANAP3 voyage participation form deadline, but these applications are welcome earlier (once your project has been approved), as it must be borne in mind that 2-12 months are required for the processing thereof – the process is especially long for applications submitted under NEMA.

**Sufficient time should also be kept in mind to allow for the finalisation of possible appeals in terms of the South African EIA legislation and the processing of CEE's at the annual international ATCM held in around June each year, etc.*

21. DEA 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: 012 310-3510 / 3659

Fax: 012 320-7539

E-mail: cjacobs@environment.gov.za / dsmit@environment.gov.za