

SC/68D/O/04Rev

Sub-committees/working group name: O

Report on the Research Fund Financial Position

IWC Secretariat



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Report on the Research Fund Financial Position

A Secretariat Paper for SC68D

24 May 2022

1. Background

- 1.1. The purpose of this report is to update the Scientific Committee on the financial position of the Research Fund and the SORP and Small Cetacean funds.
- 1.2. All figures are in GBP unless otherwise stated.

2. 2021 Position on the Research Fund

- 2.1. A full analysis of 2021 Research Fund expenditure is given in **Appendix Ai** to this report. The table below summarises this activity:

2021 Research Fund Position	£
Opening Balance 1 January 2021	376,367
Income	
Budget Allocated from Commission	226,400
Budget Allocated from Third Parties (Voluntary Contributions)	0
Interest Income	0
Other Income	0
Total Income	226,400
Expenditure	
Research	(59,949)
Databases & Catalogues	(33,953)
Reports	(4,000)
Prior Year Projects, Bank & Other Charges	(3,021)
Total Expenditure	(100,922)
Closing Balance 31 December 2021	501,845

- 2.2. Key points to note are as follows:

- Bank Interest rates have reduced so much that no interest was allocated to the Research and other Voluntary Funds in 2021.
- As the 2021 meeting was held online, no money was spent on IPs. This is being carried over to future meetings.
- Due to the pandemic, many of the planned in-person workshops had to be delayed or cancelled and projects / fieldwork have been delayed.
- No material (greater than £500) overspends were recorded in 2021.
- The balance on the contingency fund represents 20% of total budget and is therefore higher than the target level of 10% set out in the Financial Regulations.

3. 2022 Budget and Year-to-Date Position (31 March 2022)

- 3.1. As the Commission Meeting in 2020 was delayed due to COVID, an interim one-year budget was passed via a virtual special meeting, including a one-year budget for 2022.
- 3.2. **Appendix Aii** shows spending to 31 March 2022 against the 2022 budget, including funds that are committed or are available for reallocation. This table also indicates the status of projects, including those affected by the pandemic.
- 3.3. The opening balance on the Research Fund was £501,845 (the balance is higher than normal due to COVID-19 delays). Of this, £356,997 is either spent or committed to existing projects. Unallocated balances in the Research Fund are as follows, correct to 31 March 2022:

Project Title	Unallocated Balance 31/03/2022 £	Comments
Invited Participants	100,000	This is the underspend resulting from not having in-person meetings.
Contingency Fund	44,848	See note below
TOTAL	144,848	

- 3.4. Any reallocations agreed upon by the SC will be proposed to the Commission for authorisation as part of the budget process.
- 3.5. The 'Contingency Fund' is in place to ensure the smooth running of approved projects. It is not available to allocate to new projects.
- 3.6. The fund 'Responding to Commission Developments' totals £108.7k. This is made up of underspends in projects from 2021, (£94.1k) and £14.6k from the 2022 budget. Noting the Commission's budget situation, and those changes would likely be required to SC meetings and / or Research budget, these funds are set aside to assist the SC in implementing any changes to current working practices as directed by the Commission.

4. Small Cetaceans Fund

- 4.1. **Appendix B** provides details of the position of the Small Cetaceans Fund to 31 March 2022.
- 4.2. Since April 2021, voluntary contributions to the Small Cetaceans Fund totalling £16,741 have been gratefully received, they are as follows:

Donor	£
Government of Netherlands	4,253
Animal Welfare Institute	3,613
Campaign Whale	1,000
Cetacean Society International	361
Dolphin Connection	361
Humane Society International	2,000
LegaSeas	361
Natural Resources Defence Council	723
OceanCare	2,000
ProWildlife	1,708
Whaleman Foundation	361
TOTAL	16,741

- 4.3. The remaining unallocated balance in the Small Cetaceans Fund at 31 March 2022 is **£40,051**.

5. Southern Ocean Research Partnership (SORP) Fund

- 5.1. **Appendix C** provides details of expenditure from the SORP Fund to 31 March 2022.
- 5.2. A number of projects have been delayed due to COVID-19. The IWC and SORP Secretariats are working closely together to ensure that contracts are revised as necessary, and the appropriate support is given so that projects may continue.
- 5.3. The SORP Steering Committee exercised its discretion¹ to allocate £1,328 to insurance and equipment costs to move acoustic instruments from France to South Africa, to ensure the smooth running of an existing project.
- 5.4. The remaining unallocated balance in the SORP fund as at 31 March 2022 is **£24,844**.

¹ See Financial Regulations, Appendix 5 (d).

Appendix Ai – Research Fund Position 2021

Sub Comm	RP	Project ID	Project Name	2021 Opening Balance	2021 Reallocation of Funds	2021 Budget	2021 Total Budget	2021 Adj	2021 Income	2021 Expenditure	2021 Closing Balance	Project Status
		Contingency	Unassigned	44,848			44,848				44,848	
ALL			Set aside to support Commission Recommendations	-			-				-	
ALL		RO001	RO001 Invited Participants	100,000			100,000				100,000	Delayed - due to COVID
2021 PROJECTS												
Meetings / Workshops												
RMP	68bRP28	R67013	R67013 Implementation Review NP Minke Whales	15,000			15,000				15,000	Delayed - due to COVID
ASI	68aRP05	R67025	R67025 Pre-Meeting of the Abundance Steering Group	6,000			6,000				6,000	Delayed - due to COVID
CMP	68bRP11	R67026	R67026 SWA Right Whale CMP Workshop	7,600			7,600				7,600	In progress
CMP	68bRP12	R67027	R67027 CAHW CMP Workshop	11,460			11,460				11,460	Delayed - due to COVID
CMP	68bRP23	R67028	R67028 Franciscana Workshop	16,600			16,600				16,600	In progress
E	68bRP24	R67029	R67029 Climate Change Workshop	20,000			20,000				20,000	Cancelled
WW	68bRP30	R67030	R67030 Chile & Peru Whale Watching Workshop	4,210			4,210				4,210	Delayed - due to COVID
Modelling / Computing												
IA	68bRP15	R67031	R67031 Computing Support to WNP Minke	13,500			13,500				13,500	In progress
Research												
SH	68bRP01	R67032	R67032 Pygmy Blue Whale Pre-Assessments	7,535			7,535			(7,535)	-	Complete
SH	68bRP02	R67033	R67033 Acoustics Blue Whale Oman	12,000			12,000			(4,000)	8,000	In progress
SH	68bRP07	R67035	R67035 Mid-Latitude Antarctic Blue Whale Acoustics	4,400			4,400			(2,900)	1,500	In progress
CMP	68bRP08	R67036	R67036 ASHW Songs India	11,897			11,897			(5,143)	6,754	In progress
CMP	68bRP09	R67037	R67037 ASHW Body Conditions & Fisheries Mapping	12,825			12,825			(6,413)	6,412	In progress
CMP	68bRP10	R67038	R67038 Southeast Pacific Right Whale Acoustics	20,000			20,000			(20,000)	-	Complete
IA	68bRP16	R67039	R67039 NPHW Mixed Stock Analysis	13,200			13,200			(6,600)	6,600	In progress
SM / CMP	68bRP27	R67040	R67040 Franciscana Aerial Survey	23,820			23,820				23,820	Delayed - due to COVID
E	RP07	RO002	RO002 POWER Cruise	48,034			48,034			(7,358)	40,676	In progress
Databases / Catalogues												
	68aRP03	R67041a	R67041a SH Blue Whale Catalogue	20,037			20,037			(19,225)	812	In progress
SH	68bRP03	R67041b	R67041b SH Blue Whale Catalogue - Chile	10,428			10,428				10,428	Delayed - other reason
SH	68bRP03b	R67042	R67042 Reconciling Chilean Blue Whale Catalogue	2,000			2,000				2,000	Complete
HIM	RP18	RO005	RO005 Ship Strike Coordination	12,500			12,500			(12,500)	-	Complete
Secretariat	68bRP22	RO007	RO007 Secretariat Database Support	2,228			2,228			(2,228)	-	Complete
Reports												
E	RP04	RO003	RO003 SOCER	4,000			4,000			(4,000)	-	Complete
PRIOR YEARS / ONGOING PROJECTS												
		R66006	R66006 JCRM SOWER	33,650			33,650			(260)	33,390	In progress
		R66017	R66017 Data Archiving NI Ocean Humpbacks	-			-			1,875	1,875	In progress
IA	RP19	R66023	R66023 IA NP Humpbacks	11,481			11,481				11,481	Delayed - due to COVID
		R66031	R66031 Priority Arabian Sea Humpbacks	913			913				913	Complete
CMP	RP10	R66032	R66032 Strandings Emergency Response	9,915			9,915				9,915	
		R66036	R66036 Development of Permanent Blue W Reference Library	4,000			4,000				4,000	In progress
		R67003	R67003 Simulating Line Transect Data	-			-			3,000	3,000	In progress
CMP	RP15	R67004	R67004 Quantitative assessment of threats to Arabian Sea humpback whales	7,291			7,291			(3,650)	3,641	In progress
CMP	RP11	R67006	R67006 Population Dynamics SR Whales Peninsula Valdes	1,400			1,400				1,400	In progress
EM	RP08	R67007	R67007 Ecosystem Functioning Workshop 2020	20,550			20,550				20,550	In progress
WW	RP27	R67008	R67008 MAWI Workshop	17,000			17,000				17,000	Cancelled
CMP	RP12	R67009	R67009 Abundance Estimates Franciscana Buenos Aires	1,775			1,775				1,775	In progress
IA	RP20/68bRP17	R67010	R67010 In-depth Assessment of NP Sei Whales	5,000			5,000			(2,500)	2,500	In progress
NH	RP37	R67017	R67017 Comparative biology, health, status and future NA Right Whales	10,000			10,000				10,000	Cancelled
	68aRP01	R67018	R67018 Exploration of Survey Methods - West Australian BSD Humpbacks	4,000			4,000				4,000	In progress
RMP	RP02	R67023	R67023 Amendment of RMP Guidelines	2,366			2,366				2,366	In progress
	68aRP04	R67024	R67024 Photo ID SR Right Whales in Brazil and Argentina	2,000			2,000				2,000	In progress
CMP	RP16		Western Gray Whale CMP	10,500			10,500				10,500	Delayed - due to COVID
			Cumulative Impacts Pre-Meet (CDOC)	9,817			9,817				9,817	Complete
			Masking & Ship Noise	4,000			4,000				4,000	Complete
			Historic Catch Data	2,988			2,988				2,988	Complete
			Bank Charges & Currency Adjs	-			-			(1,486)	(1,486)	
TOTAL				602,767	-	-	602,767	-	-	(100,922)	501,845	

Note:

Funds from projects which are cancelled and / or complete with a positive balance remaining are reallocated in the following years budget allocation process.

Project ID R67027 (RP12) was completed in April 2022, after the date this table was updated.

Appendix Aii – Research Fund Position to 31 March 2022

Sub Comm	RP	Project ID	Proponent	Project Name	2022 Opening Balance	2022 Reallocation of Funds	2022 Budget	2022 Total Budget	2022 Income	2022 Expenditure	2022 Balance @ 31 Mar 2022	Project Status
ALL		RO001		RO001 Invited Participants	100,000			100,000			100,000	
ALL				Set aside to support Commission Recommendations	-		15,000	15,000			15,000	
ALL				Seed Funding - Communications Small Group	-		15,000	15,000			15,000	
ALL				Responding to Commission Developments	-	94,093	14,591	108,684			108,684	
ALL	Contingency			Unassigned	44,848			44,848			44,848	
2022 PROJECTS												
Meetings / Workshops												
NH	5	R68C001		NA Humpback Workshop	-		16,960	16,960			16,960	Not started
CMP	1	R68C002		Chile-Peru SRW CMP Workshop	-		8,750	8,750			8,750	In progress
Modelling / Computing												
IST	10	RO004		Essential Computing Support (refer to R67031 too)	-		13,500	13,500		(6,000)	7,500	In progress
Research												
IST, IA	12	RO002		RO002 POWER Cruise	40,676		15,106	55,782			55,782	In progress
SH	7	R68C003		SH Blue Whale Catalog	-		11,500	11,500			11,500	In progress
SH	8	R68C004		Madagascar Blue Whale Photographs	-		400	400			400	In progress
IA	11	R68C005		HW Tag Data Analysis	-		9,860	9,860			9,860	Not started
SH	6	R68C006		SRW Australia Aerial Survey	-		17,008	17,008			17,008	In progress
NH	4	R68C007		MEGARA 2022	-		6,000	6,000			6,000	Not started
SH	9	R68C008		Antarctic BW Stock and Movement	-		16,076	16,076			16,076	Not started
CMP	13	R68C009		Chile-Peru SRW Acoustics	-		19,400	19,400			19,400	Not started
CMP	17	R68C010		Blue Whale Acoustics Oman	-		16,904	16,904		(14,901)	2,003	In progress
CMP	16	R68C011		ASHW Conservation	-		14,845	14,845			14,845	In progress
Databases												
HIM	2	RO005		Ship Strike Coordination	-		10,000	10,000		(10,000)	-	In progress
GDR	18	RO007		Secretariat Database Support	-		6,000	6,000			6,000	In progress
Reports												
PRIOR YEARS / ONGOING PROJECTS												
ASI		R66006		R66006 JCRM SOWER	33,390	(16,650)		16,740			16,740	In progress
SH		R66017		R66017 Data Archiving NI Ocean Humpbacks	1,875			1,875			1,875	In progress
IA	RP19	R66023		R66023 IA NP Humpbacks	11,481	(1,481)		10,000			10,000	Delayed - due to COVID
CMP	RP10	R66032		R66032 Strandings Emergency Response	9,915			9,915			9,915	In progress
SH		R66036		R66036 Development of Permanent Blue W Reference Library	4,000			4,000			4,000	In progress
ASI	RP36	R67003		R67003 Simulating Line Transect Data	3,000			3,000		(2,250)	750	In progress
CMP	RP15	R67004		R67004 Quantitative assessment of threats to Arabian Sea humpback whales	3,641			3,641			3,641	In progress
CMP	RP11	R67006		R67006 Population Dynamics SR Whales Peninsula Valdes	1,400			1,400			1,400	In progress
EM	RP08	R67007		R67007 Ecosystem Functioning Workshop 2020	20,550			20,550			20,550	In progress
CMP	RP12	R67009		R67009 Abundance Estimates Franciscana Buenos Aires	1,775			1,775			1,775	In progress
IA	RP20/68bRP17	R67010		R67010 In-depth Assessment of NP Sei Whales	2,500			2,500			2,500	In progress
IST	68bRP28	R67013		R67013 Implementation Review NP Minke Whales	15,000			15,000			15,000	Delayed - due to COVID
SH	68aRP01	R67018		R67018 Exploration of Survey Methods - West Australian BSD Humpbacks	4,000			4,000			4,000	Not started
IST	RP02	R67023		R67023 Amendment of RMP Guidelines	2,366	(1,116)		1,250			1,250	In progress
CMP	RP16	R67043		Western Gray Whale CMP	10,500			10,500			10,500	Delayed - due to COVID
ASI	68aRP05	R67025		R67025 Pre-Meeting of the Abundance Steering Group	6,000			6,000			6,000	Delayed - due to COVID
CMP	68bRP11	R67026		R67026 SWA Right Whale CMP Workshop	7,600			7,600			7,600	In progress
CMP	68bRP12	R67027		R67027 CAHW CMP Workshop	11,460			11,460			11,460	In progress
CMP	68bRP23	R67028		R67028 Franciscana Workshop	16,600			16,600			16,600	In progress
WW	68bRP30	R67030		R67030 Chile & Peru Whale Watching Workshop	4,210			4,210			4,210	Delayed - due to COVID

Appendix Aii – Research Fund Position to 31 March 2022 (continued)

Sub Comm	RP	Project ID	Proponent	Project Name	2022 Opening Balance	2022 Reallocation of Funds	2022 Budget	2022 Total Budget	2022 Income	2022 Expenditure	2022 Balance @ 31 Mar 2022	Project Status
IA	68bRP15	R67031		R67031 Computing Support to WNP Minke	13,500	(7,500)		6,000			6,000	In progress
SH	68bRP02	R67033		R67033 Acoustics Blue Whale Oman	8,000			8,000		(6,000)	2,000	In progress
SH	68bRP07	R67035		R67035 Mid-Latitude Antarctic Blue Whale Acoustics	1,500			1,500			1,500	In progress
CMP	68bRP08	R67036		R67036 ASHW Songs India	6,754			6,754		(3,992)	2,762	In progress
CMP	68bRP09	R67037		R67037 ASHW Body Conditions & Fisheries Mapping	6,412			6,412			6,412	In progress
SM / CMP	68bRP27	R67040		R67040 Franciscana Aerial Survey	23,820			23,820			23,820	Delayed - due to COVID
SH	68aRP03	R67041a		R67041a SH Blue Whale Catalogue	812			812			812	In progress
SH	68bRP03	R67041b		R67041b SH Blue Whale Catalogue - Chile	10,428	(2,628)		7,800			7,800	Not started
				Bank Charges & Currency Adjs	(1,486)			(1,486)		(43)	(1,529)	
COMPLETE / CANCELLED PROJECTS												
		R66031		R66031 Priority Arabian Sea Humpbacks	913	(913)		-			-	
WW	RP27	R67008		R67008 MAWI Workshop	17,000	(17,000)		-			-	
		R67011		R67011 Develop an age-structured emulator for the individual based energetics model (IBEM)	-			-			-	
NH	RP37	R67017		R67017 Comparative biology, health, status and future NA Right Whales	10,000	(10,000)		-			-	
E	RP06	R67022		R67022 2019 Marine Debris Workshop	-			-			-	
	68aRP04	R67024		R67024 Photo ID SR Right Whales in Brazil and Argentina	2,000			2,000			2,000	
E	68bRP24	R67029		R67029 Climate Change Workshop	20,000	(20,000)		-			-	
SH	68bRP01	R67032		R67032 Pygmy Blue Whale Pre-Assessments	-			-			-	
SH	68bRP05	R67034		R67034 Acoustic Catch Separation Durban	-			-			-	
CMP	68bRP10	R67038		R67038 Southeast Pacific Right Whale Acoustics	-			-			-	
IA	68bRP16	R67039		R67039 NPHW Mixed Stock Analysis	6,600			6,600		(6,600)	-	
SH	68bRP03b	R67042		R67042 Reconciling Chilean Blue Whale Catalogue	2,000			2,000			2,000	
E	3	RO003		SOCER	-		4,000	4,000		(2,667)	1,333	
		RO006		RO006 AWMP Workshops	-			-			-	
				Cumulative Impacts Pre-Meet (CDOC)	9,817	(9,817)		-			-	
				Masking & Ship Noise	4,000	(4,000)		-			-	
				Historic Catch Data	2,988	(2,988)		-			-	
TOTAL					501,845	-	230,900	732,745	-	(52,453)	680,291	

Appendix B – Small Cetaceans Fund as at 31 March 2022

	Small Cetaceans Task Team	Rapid Assessment Guiana Dolphins - Central America	Conservation of Guiana Dolphins Venezuela	Population Assessment & Dynamics of Lahile's Bottlenose Dolphins in Argentina	Barrage operations on the Nepal-India border for Ganges River Dolphin	Bycatch of Burmeister's Porpoises in Peru	Unassigned	Total
Project codes	SO003	SC68C01	SC68C02	SC68C03	SC68C04	SC68C05	Unassigned	
Opening Balance 01/01/2022	1,775						107,464	110,404
Allocation of Budget		19,564	5,820	17,020	4,994	20,000	(67,398)	0
Income								
Voluntary Contributions								
Total Income	0	0	0	0	0	0	0	0
Expenditure								
Project Costs								
Contractor Remuneration		(9,800)	(3,750)			(10,000)		(23,550)
Bank Charges & Currency Adj							(15)	(15)
Transfers of Budget			0				1,164	0
Total Expenditure	0	(9,800)	(3,750)	0	0	(10,000)	1,149	(23,565)
Closing Balance 31/03/2022	1,775	9,764	2,070	17,020	4,994	10,000	41,215	86,839

Appendix C – Southern Ocean Research Partnership Fund as at 31 March 2022

	deBruyn Habitat Use of Killer Whales	Harcourt Antarctic Blue Whale Krill Interactions	Herr Recovery Status & Ecology SH Fin	Bengston Humpback Sea-Ice Ecosystem Monitoring	Branch Somatic Growth Blue Whales	Kelly Long Range UAVs	Baker Migratory Connectivity of Humpbacks	Sirovic Acoustic Ecology of Foraging Antarctic Blue Whales	Iniguez Baleen & Toothed Whales in Scotia & Antarctic Peninsula	Zerbini Assessing Blubber Thickness to Inform Tag Development	Reisinger Ecology & Connectivity of Killer Whales SA & Indian Oceans	Andrews-Goff Remote Aerial Deployment Sampling	Bengston-Nash Extracting standardised health parameter data	Branch Insights into Antarctic Blue Whale Population Structure	Buchan Acoustic population identifiers for fin whales Chile	Butterworth Southern right whale demographic parameters	Caroll Foraging ecology of the southern right whale in the Indo-Pacific	Shabangu Freight of an acoustic instrument from France to South Africa	Lang Demographic History of Blue & Fin Whales in the Antarctic	Unassigned	Total		
Project codes	SR6605	SR6610	SR6701	SR6706	SR6707	SR6708	SR6709	SR6711	SR6712	SR6713	SR6714	SR6715	SR6716	SR6717	SR6718	SR6719	SR6720		SR6721				
Opening Balance 01/01/2022	2,500	4,701	20,461	12,889	8,149	7,644	6,594	17,831	14,040	5,600	8,408	9,520	10,058	14,085	2,200	11,375	136	105	22,710	24,849	203,855		
Allocation of Budget																						-	
Income																							
Interest Income																							-
Voluntary Contributions																							-
Total Income	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Expenditure																							
Project Costs																							
Contractor Remuneration							(6,594)					(1,500)										(25,126)	
Freight																						-	
Project Equipment incl. postage																		(62)				(62)	
Bank Charges & Currency Adj																					(5)	(5)	
Transfers of Budget																							-
Total Expenditure	-	-	-	-	-	-	(6,594)	-	-	-	-	(1,500)	-	-	-	-	-	(62)	(17,033)	(5)	(25,193)		
Closing Balance 31/03/2022	2,500	4,701	20,461	12,889	8,149	7,644	0	17,831	14,040	5,600	8,408	8,020	10,058	14,085	2,200	11,375	136	43	5,678	24,844	178,662		