

**SC/69B/O/09**

**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 SC69B

24 April 2024

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### 1. Background

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

### 2. 2023 Position on the Research Fund

- 2.1. A full analysis of 2023 Research Fund expenditure is given in **Appendix Ai** to this report. The table below summarises this activity:

2023 Research Fund Position	£
<b>Opening Balance 1 January 2023</b>	<b>420,013</b>
<b>Reallocated Funds</b>	<b>(10,322)</b>
<b>Income</b>	
Budget Allocated from Commission	210,518
Budget Allocated from Third Parties (Voluntary Contributions)	14,905
<b>Total Income</b>	<b>225,423</b>
<b>Expenditure</b>	
Databases / Catalogues	(10,000)
IPs	(78,422)
Meetings / Workshops	(17,318)
Modelling / Computing	(23,364)
Research	(58,431)
Reports	(4,000)
Prior Year Projects, Bank & Other Charges	(136,625)
<b>Total Expenditure</b>	<b>(328,160)</b>
<b>Closing Balance 31 December 2023</b>	<b>306,953</b>

- 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 2023.
- Carry over of unspent IP funds from previous years helped to fund the IP costs in 2023.
- The balance on the contingency fund represents 10% of the annual budget as set out in the Financial Regulations.

### 3. 2024 Budget and Year-to-Date Position (31 March 2024)

- 3.1. At the Commission Meeting in 2022 a two-year budget was approved. £210,518 for 2023 and £215,228 for 2024.
- 3.2. Any reallocations agreed upon by the SC will be proposed to the Commission for authorisation as part of the budget process.
- 3.3. **Appendix Aii** shows spending to 31 March 2024 against the 2024 budget, including funds that are committed or are available for reallocation. This table also indicates the status of projects.
- 3.4. The opening balance on the Research Fund plus allocated budget for the year is £522,181. Of this, £473,136 is either spent or committed to existing projects.
- 3.5. Unallocated balances in the Research Fund are as follows, correct to 31 March 2024:

Project Title	Unallocated Balance 31/03/2024 £	Comments
To support Commission Recommendations	14,844	
Strandings Emergency Response	9,915	
Contingency Fund	24,287	See note below
<b>TOTAL</b>	<b>49,046</b>	

3.6. The 'Contingency Fund' is in place to ensure the smooth running of approved projects. It is not available to allocate to new projects.

#### 4. Small Cetaceans Fund

- 4.1. **Appendix B** provides details of the position of the Small Cetaceans Fund to 31 March 2024.
- 4.2. Since January 2023, voluntary contributions to the Small Cetaceans Fund totalling £70,187 have been gratefully received, they are as follows:

Donor	£
Government of Australia	42,577
Government of France	8,626
Government of Netherlands	6,925
Animal Welfare Institute	12,059
<b>TOTAL</b>	<b>70,187</b>

4.3. The remaining unallocated balance in the Small Cetaceans Fund to 31 March 2024 is **£150,849**.

#### 5. Southern Ocean Research Partnership (SORP) Fund

- 5.1. **Appendix C** provides details of expenditure from the SORP Fund to 31 March 2024.
- 5.2. Since January 2023 two voluntary contributions to the SORP Fund were received, one from the Australian Government for £69,188 and one from Abel Mosaics for £140. Both were gratefully received.
- 5.3. The remaining unallocated balance in the SORP fund to 31 March 2024 is **£128,240**.

Appendix Ai – Research Fund Position 2023

<b>2023 WORK PROGRAMME</b>												
Sub Comm	RP	Project ID	Project Name	2023 Opening Balance	2023 Reallocation of Funds	2023 Budget	2023 Total Budget	2023 Income	2023 Contra	2023 Expenditure	2023 Balance @ 31 Dec 2023	Project Status
ALL		RO001	Invited Participants	100,000		30,892	130,892	6,866		(78,422)	59,336	
ALL		RO010	Set aside to support Commission Recommendations	15,000			15,000				15,000	
CMP	RP10	R66032	Strandings Emergency Response	9,915			9,915				9,915	
ALL	Contingency		Unassigned	18,850			18,850		(9,324)		9,526	
			Bank Charges & Currency Adjs	(1,388)			(1,388)		1,773	(385)	-	
<b>2023 PROJECTS</b>												
<b>Meetings / Workshops</b>												
ASI	68aRP05	R67025	Pre-Meeting of the Abundance Steering Group	6,000		5,340	11,340			(2,802)	8,538	In progress
SH, CMP	7	R67026	SRW catch series, stock structure and catch allocation review workshop	-	14,516	1,284	15,800			(14,516)	1,284	In progress
<b>Modelling / Computing</b>												
SH	5	R68D10	Assessment of Antarctic blue whales	-		22,362	22,362			(11,181)	11,181	In progress
IST	10,11	RO004	Essential Computing Support (refer to R67031 RO004 too)	2,000		17,000	19,000			(12,183)	6,817	In progress
<b>Research</b>												
IST, IA	1	RO002	POWER Cruise	40,379		16,208	56,587			(10,108)	46,479	In progress
CMP, SH	16	R68D04	Passive acoustic monitoring of the eastern SP SRW	-		20,200	20,200			(15,600)	4,600	In progress
CMP	18	R68D05	Assessment of spatiotemporal distribution of humpback and blue whale song along the Arabian Sea coasts of Oman	-		9,650	9,650				9,650	Not started
CMP	19	R68D06	Continuation of field deployments in 2023-24 for passive acoustic monitoring for humpback, blue and other baleen whales of Oman	-		17,903	17,903			(12,513)	5,390	In progress
E	22	R68D07	Contaminant mapping in cetaceans: review of spatial and temporal trends in POPs and heavy metals	-		10,000	10,000			(9,000)	1,000	In progress
NH	24	R68D08	Assessing endangered baleen whales in the Eastern North Atlantic through passive acoustic monitoring off Senegal	-		12,420	12,420			(11,210)	1,210	In progress
SM	15	R68D09	Collaborating with indigenous communities and updating the IWC direct take database	-		2,500	2,500				2,500	Not started
<b>Databases / Catalogues</b>												
HIM, SM	13	RO005	Ship Strike Coordination	-		10,000	10,000			(10,000)	-	In progress
GDR, SH, PH	14	RO007	Secretariat Database Support	6,000		6,000	12,000				12,000	In progress
<b>Reports</b>												
E	20	RO003	State of Cetacean Environment Report (SOCER) for 2023/24	-		4,000	4,000			(4,000)	-	In progress
<b>Other</b>												
ALL			Seed Funding - Communications Small Group	15,000			15,000				15,000	In progress
<b>PRIOR YEARS / ONGOING PROJECTS</b>												
<b>Meetings / Workshops</b>												
IA	RP19	R66023	IA NP Humpbacks	10,000			10,000				10,000	In progress
EM	RP08	R67007	Ecosystem Functioning Workshop 2020	20,550			20,550		(18,260)	(364)	1,926	In progress
IST	68bRP28	R67013	Implementation Review NP Minke Whales	15,000			15,000			(7,181)	7,819	In progress
CMP	RP16	R67043	Western Gray Whale CMP	7,500			7,500				7,500	In progress
NH	5	R68C01	NA Humpback Workshop	16,960			16,960				16,960	Not started
<b>Research</b>												
SH		R66017	Data Archiving NI Ocean Humpbacks	1,875			1,875				1,875	In progress
CMP	68bRP09	R67037	ASHW Body Conditions & Fisheries Mapping	6,412			6,412				6,412	In progress
NH	4	R68C07	MEGARA 2022	3,000			3,000				3,000	In progress

Appendix Ai – Research Fund Position 2023 (continued)

<b>2023 WORK PROGRAMME</b>												
SH	9	R68C08	Antarctic BW Stock and Movement	16,076			16,076			(15,000)	1,076	In progress
CMP	13	R68C09	Chile-Peru SRW Acoustics	12,400			12,400			(3,180)	9,220	In progress
CMP	17	R68C10	Blue Whale Acoustics Oman	2,003			2,003			(1,003)	1,000	In progress
			<b>Databases / Catalogues</b>									
SH		R66036	Development of Permanent Blue W Reference Library	4,000			4,000				4,000	In progress
			<b>Reports</b>									
ASI		R66006	JCRM SOWER Publication Fund	16,740			16,740				16,740	In progress
<b>COMPLETE / CANCELLED PROJECTS</b>												
			<b>Meetings / Workshops</b>									
CMP	68bRP11	R67026	SWA Right Whale CMP Workshop	3,651	(3,651)		-				-	Complete
CMP	68bRP12	R67027	CAHW CMP Workshop	(2,460)	2,460		-				-	Complete
CMP	68bRP23	R67028	Franciscana Workshop	6,329	(6,355)		(25)			25	-	Complete
CMP	1	R68C02	Chile-Peru SRW CMP Workshop	356	(356)		-				-	Complete
		R69A01	CMS Workshop on Cetaceans and Ecosystem Functioning Nov 2023				-	8,039	18,260	(26,299)	-	Complete
			<b>Modelling / Computing</b>									
ASI	RP36	R67003	Simulating Line Transect Data	750			750			(750)	-	Complete
IA	RP20/68bRP17	R67010	In-depth Assessment of NP Sei Whales	2,500			2,500			(2,500)	-	Complete
SH	68aRP01	R67018	Exploration of Survey Methods - West Australian BSD Humpbacks	4,000	(4,000)		-				-	Complete
			<b>Research</b>									
SH	68bRP02	R67033	Acoustics Blue Whale Oman	2,000			2,000			(2,000)	-	Complete
SH	68bRP07	R67035	Mid-Latitude Antarctic Blue Whale Acoustics	1,500			1,500			(1,500)	-	Complete
CMP	68bRP08	R67036	ASHW Songs India	2,762	(762)		2,000			(2,000)	-	Complete
SM / CMP	68bRP27	R67040	Franciscana Aerial Survey	23,820			23,820			(23,820)	-	Complete
SH	8	R68C04	Madagascar Blue Whale Photographs	400			400			(400)	-	Complete
IA	11	R68C05	HW Tag Data Analysis	4,930			4,930			(4,930)	-	Complete
SH	6	R68C06	SRW Australia Aerial Survey	17,008	(12,174)		4,834			(4,834)	-	Complete
CMP	16	R68C11	ASHW Conservation	4,945			4,945			(4,945)	-	Complete
SH, CMP	4	R68D01	Assessing movement rates of SW Atlantic SRW between Argentina and Brazil	-		5,808	5,808			(5,808)	-	Complete
SH	9	R68D03	Passive acoustic monitoring of cetaceans from the former Durban whaling ground, western Indian Ocean	-		1,590	1,590			(1,590)	-	Complete
			<b>Databases / Catalogues</b>									
	68aRP04	R67024	Photo ID SR Right Whales in Brazil and Argentina	2,000			2,000		57	(2,057)	-	Complete
NH	23	R68D12	Review of the Spanish statistics in the IWC catch database	-		12,555	12,555			(12,555)	-	Complete
SH, PH	8	R68D13	Southern hemisphere blue whale catalogue 2023/24	-		3,306	3,306		7,494	(10,800)	-	Complete
			<b>Reports</b>									
IST	RP02	R67023	Amendment of RMP Guidelines	1,250			1,250			(1,250)	-	Complete
WW	3	R68D11	Communicating the science of sustainable, responsible Whale Watching	-		1,500	1,500			(1,500)	-	Complete
<b>TOTAL</b>				<b>420,013</b>	<b>(10,322)</b>	<b>210,518</b>	<b>620,208</b>	<b>14,905</b>	<b>-</b>	<b>(328,160)</b>	<b>306,953</b>	

Appendix Aii – Research Fund Position to 31 March 2024

<b>2024 WORK PROGRAMME</b>												
Sub Comm	RP	Project ID	Project Name	2024 Opening Balance	2024 Reallocation of Funds	2024 Budget	2024 Total Budget	2024 Income	2024 Contra	2024 Expenditure	2024 Balance @ 31 Mar 2024	Project Status
ALL		RO001	Invited Participants	59,336		37,432	96,768	12,823		(26,149)	83,443	
ALL		RO010	Set aside to support Commission Recommendations	15,000			15,000			(156)	14,844	
CMP	RP10	R66032	Strandings Emergency Response	9,915			9,915				9,915	
ALL	Contingency		Unassigned	9,526	7,267		16,793		7,494		24,287	
			Bank Charges & Currency Adjs	-			-			(21)	(21)	
<b>2024 PROJECTS</b>												
			Meetings / Workshops									
ASI	68aRP05	R67025	Pre-Meeting of the Abundance Steering Group	8,538		11,340	19,878			(607)	19,271	In progress
SH, CMP	7	R67026	SRW catch series, stock structure and catch allocation review workshop	1,284		11,720	13,004				13,004	In progress
SAN	25		Southern Ocean Sanctuary review	-		1,985	1,985				1,985	Not started
			Modelling / Computing									
IA	11	R67031	Essential Computing Support (refer to R67031 RO004 too)	6,817		25,500	32,317				32,317	In progress
IA	12		NP sei and humpback whale modelling	-		2,500	2,500				2,500	In progress
			Research									
IST, IA	1	RO002	POWER Cruise	46,479		29,870	76,349			(5,008)	71,341	In progress
SH	6	R68D02	Mark recapture analysis of Southern Hemisphere BW photo-ID datasets to estimate regional abundance	-		18,000	18,000				18,000	Not started
SH	9	R68D03	Passive acoustic monitoring of cetaceans from the former Durban whaling ground, western Indian Ocean	-		1,590	1,590				1,590	In progress
CMP, SH	16	R68D04	Passive acoustic monitoring of the eastern SP SRW	4,600		11,000	15,600				15,600	In progress
CMP	18	R68D05	Assessment of spatiotemporal distribution of humpback and blue whale song along the Arabian Sea coasts of Oman	9,650		9,250	18,900				18,900	In progress
NH	24	R68D08	Assessing endangered baleen whales in the Eastern North Atlantic through passive acoustic monitoring off Senegal	1,210		10,000	11,210				11,210	In progress
SM	15	R68D09	Collaborating with indigenous communities and updating the IWC direct take database	2,500		2,500	5,000				5,000	In progress
			Databases									
HIM, SM	13	RO005	Ship Strike Coordination	-		10,000	10,000				10,000	In progress
GDR, SH, PH	14	RO007	Secretariat Database Support	12,000		6,000	18,000				18,000	In progress
			Reports									
E	20	RO003	State of Cetacean Environment Report (SOCER) for 2023/24	-		4,000	4,000			(4,000)	-	Complete
			Other									
ALL			Seed Funding - Communications Small Group	15,000		7,500	22,500				22,500	In progress
<b>PRIOR YEARS / ONGOING PROJECTS</b>												
			Meetings / Workshops									
IA	RP19	R66023	IA NP Humpbacks	10,000			10,000			(533)	9,468	In progress
CMP	RP16	R67043	Western Gray Whale CMP	7,500			7,500				7,500	In progress
NH	5	R68C01	NA Humpback Workshop	16,960			16,960				16,960	Not started
SH	5	R68D10	Assessment of Antarctic blue whales	11,181			11,181				11,181	In progress
			Research									
SH		R66017	Data Archiving NI Ocean Humpbacks	1,875			1,875				1,875	In progress
NH	4	R68C07	MEGARA 2022	3,000			3,000				3,000	In progress

Appendix Aii – Research Fund Position to 31 March 2024 (continued)

<b>2024 WORK PROGRAMME</b>											
SH	9	R68C08	Antarctic BW Stock and Movement	1,076			1,076			1,076	In progress
CMP	13	R68C09	Chile-Peru SRW Acoustics	9,220			9,220			9,220	In progress
CMP	19	R68D06	Continuation of field deployments in 2023-24 for passive acoustic monitoring for humpback, blue and other baleen whales of Oman	5,390			5,390			5,390	In progress
E	22	R68D07	Contaminant mapping in cetaceans: review of spatial and temporal trends in POPs and heavy metals	1,000			1,000			1,000	In progress
			<b>Databases</b>								
			<b>Reports</b>								
ASI		R66006	JCRM SOWER	16,740			16,740			16,740	In progress
<b>COMPLETE / CANCELLED PROJECTS</b>											
			<b>Research</b>								
SH		R66036	Development of Permanent Blue W Reference Library	4,000	(4,000)		-			-	Complete
EM	RP08	R67007	Ecosystem Functioning Workshop 2020	1,926	(1,926)		-			-	Complete
IST	68bRP28	R67013	Implementation Review NP Minke Whales	7,819	(1,341)		6,478		(6,478)	-	Complete
CMP	68bRP09	R67037	ASHW Body Conditions & Fisheries Mapping	6,412			6,412		(6,412)	-	Complete
CMP	17	R68C10	Blue Whale Acoustics Oman	1,000			1,000		(1,000)	-	Complete
SH, PH	8	R68D13	Southern hemisphere blue whale catalogue 2023/24	-		15,041	15,041	(7,494)	(7,547)	-	Complete
				-			-			-	
<b>TOTAL</b>				<b>306,953</b>	<b>-</b>	<b>215,228</b>	<b>522,181</b>	<b>12,823</b>	<b>-</b>	<b>(57,910)</b>	<b>477,094</b>

Appendix B – Small Cetaceans Fund as at 31 March 2024

	Small Cetaceans Task Team	Conservation of Guiana Dolphins Venezuela	Pop Assess & Dynamics of Lahile's BN Dolphins in Argentina	IP to SC	Small Cetacean Workshop - Auckland	Unassigned	Total
Project codes	SO003	SC68C02	SC68C03	SO001	SO002	Unassigned	
<b>Opening Balance 01/01/2024</b>	<b>2,975</b>	<b>820</b>	<b>8,510</b>	<b>0</b>	<b>5,804</b>	<b>142,984</b>	<b>161,093</b>
<b>Allocation of Budget</b>					<b>2,555</b>		<b>2,555</b>
<b>Income</b>							
Voluntary Contributions							
AWI						7,891	7,891
<b>Total Income</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>7,891</b>	<b>7,891</b>
<b>Expenditure</b>							
<b>Travel</b>							
Accommodation					(3,310)		(3,310)
Flights - Economy					(4,000)		(4,000)
Other Ground Transport					(25)		(25)
Subsistence/Per Diem					(900)		(900)
Taxis					(124)		(124)
<b>Project Costs</b>							
Contractor Remuneration							0
<b>Bank Charges &amp; Currency Adj</b>						(25)	(25)
<b>Transfers of Budget</b>							0
<b>Total Expenditure</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(8,359)</b>	<b>(25)</b>	<b>(8,384)</b>
<b>Closing Balance 31/03/2024</b>	<b>2,975</b>	<b>820</b>	<b>8,510</b>	<b>0</b>	<b>0</b>	<b>150,849</b>	<b>163,155</b>



Appendix C – Southern Ocean Research Partnership Fund as at 31 March 2024

	Herr Recovery Status & Ecology SH Fin	Bengston Humpback Sea-Ice Ecosystem Monitoring	Kelly Long Range UAVs	Sirovic Acoustic Ecology of Foraging Antarctic Blue Whales	Andrews-Goff Remote Aerial Deployment Sampling	Bengston-Nash Extracting standardised health parameter data	Butterworth Southern right whale demographic parameters	Unassigned	Total
Project codes	SR6701	SR6706	SR6708	SR6711	SR6715	SR6716	SR6719		
<b>Opening Balance 01/01/2024</b>	<b>20,475</b>	<b>12,889</b>	<b>7,644</b>	<b>17,831</b>	<b>8,020</b>	<b>10,058</b>	<b>11,375</b>	<b>128,240</b>	<b>216,532</b>
<i>Allocation of Budget</i>									-
<u>Income</u>									
Interest Income									-
Voluntary Contributions:									-
<b>Total Income</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<u>Expenditure</u>									
<b>Project Costs</b>									
Contractor Remuneration									-
<b>Bank Charges &amp; Currency Adj</b>									-
<b>Transfers of Budget</b>									-
<b>Total Expenditure</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Closing Balance 31/03/2024</b>	<b>20,475</b>	<b>12,889</b>	<b>7,644</b>	<b>17,831</b>	<b>8,020</b>	<b>10,058</b>	<b>11,375</b>	<b>128,240</b>	<b>216,532</b>