

# SC/67b/RP07

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## E - IWC strandings initiative - emergency response and investigations



INTERNATIONAL  
WHALING COMMISSION



135 Station Road, Impington, Cambridge, UK,  
CB24 9NP;  
Tel: +44 1223 233397 - Fax: +44 1223 232876  
E-mail: [secretariat@iwc.int](mailto:secretariat@iwc.int)

# PROJECT PROPOSAL REQUEST

## 1. PROPOSAL TITLE

*Please provide the title of the project or the name of the workshop/meeting.*

IWC Strandings Initiative – Emergency Response and Investigations

## 2. BRIEF OVERVIEW OF THE PROPOSAL AND ITS EXPECTED OUTCOME

*Give a very brief overview (max 150 words) on your proposal and its expected outcomes. Use bullet point to list outcomes. Be succinct and clear as this may be used to summarise your project for the report.*

The subcommittee for Environmental Concerns recognised the importance of the continued development and operations of the Strandings Initiative, and in particular highlighted four funding areas of focus, including:

**I) Strandings Coordinator: funding for salary; position to be filled through the Secretariat, and evaluated annually to assess workload and utility,**

**II) In-Country Training: funding to build capacity in stranding response and investigation,**

**III) Emergency Response and Investigations: funding for travel for stranding response, logistics, and diagnostics to better understand the circumstances and determine the cause(s) or contributing factor(s) for the stranding events and/or mitigate welfare concerns,**

**IV) Standardization of protocols, procedures and best practices: funding for development of materials/information dissemination through in person or virtual meetings, workshops, or websites.**

Over the next two years, the Environmental Concerns Subcommittee will provide some funding for the Emergency Response and Investigations (III) to support response, collection of data to determine the cause(s) or contributing factors for the event and/or to fill critical data gaps identified by the Subcommittee or Commission. The funds will be available for use during the 2 year budget period. The Initiative will be evaluated annually and policies and procedures adapted according to feedback from responses and through Steering Group/Expert Panel advice.

## 3. RELEVANT IWC SCIENTIFIC COMMITTEE GROUPS OR SUB-GROUPS

*List all the IWC Scientific Committee groups or sub-groups that the outcomes of this work would be relevant to and provide a brief (1-2 lines) explanation of how it would contribute more widely to their ongoing programmes of work. Where possible, do not simply list only the sub-committee within which or for which the project proposal was generated.*

The Stranding Initiative was proposed and endorsed by the Scientific Committee and endorsed by the Conservation Committee and the Whale Killing Methods and Welfare Issues Working Group. Specific to this request for funding, the emergency response and investigations will provide information to support identification of contributing factors and causes of events and collection of data to fill critical gaps for specific regions, species or population, identified in a Conservation Management Plan, or for specific need which will be informative to NH, SH, CMP, E,, SM, AWMP and contracting governments.

**4. TYPE OF PROJECT (PLEASE TICK)**

Research project	
Modelling	
Workshop/meeting	
Database creation/maintenance	
Compilation work/editing (e.g. on whalewatching regulations, SOCER, etc.)	
Other (please specify below)	X
Other: This ProForma is an estimated budget for 2 years of support for the Emergency Response and Investigation portion of the Strandings Initiative.	

**5. BRIEF DESCRIPTION OF THE PROPOSAL AND ITS CONNECTION WITH SCIENTIFIC COMMITTEE RECOMMENDATIONS (DO NOT EXCEED 1500 WORDS)**

(A) BACKGROUND, RATIONALE, AND RELEVANCE TO THE PRIORITIES IDENTIFIED BY THE IWC SCIENTIFIC COMMITTEE:

*Provide a clear explanation of the background and rationale for the proposal and its relevance to Scientific Committee identified priorities. Clearly identify the most relevant and recent Scientific Committee recommendations.*

[Per Annex K of IWC/66/Rep01(2015)]: The Standing Working Group on Environmental Concerns recommended that an intersessional group be established in 2015. The intersessional group will determine how data from the National Progress Reports could be compiled into a single database. The group will also work on developing the Investigations of Large Mortality Events and Mass Strandings workshop [held in December 2015]. The SWG strongly encouraged governments to support the maintenance of stranding networks as an important source of data and, where possible, expand capacities. The standardized collection of data using appropriately elaborated necropsy protocols was also recommended.

[Per Annex K of IWC/66/Rep01(2016)]: The Intersessional Working Group on Strandings will develop an Expert Panel to assist in coordination of emergency response when requested at national or regional levels; provide expertise on operating procedures, diagnostics, and response; support capacity building for regional and national networks; support for a centralised data repository; and the reporting of unusual cetaceans events and responses at annual Scientific Committee meetings, and/or a summary of unusual cetacean events reported via the website.

(B) SPECIFIC OBJECTIVES OR TOR AND DELIVERABLES/OUTCOMES:

*Provide the specific objectives and the expected deliverables. In the case of workshops and meetings, include the Terms of Reference (ToR) and expected outcomes.*

### **Expert Panel Emergency Response and Investigations Committee**

- The Strandings Expert Panel Emergency Response and Investigations Committee will refine the terms of the emergency response program, including criteria for activating emergency assistance, accessing funds, communication, tracking, and deployment of regional experts/rapid response.
- Evaluate data gaps and identify initial diagnostic procedures for emergency events

### **Emergency Response and Investigation Fund**

- Finalize the criteria and procedures for use of the fund
- Provide emergency travel to regional expert assistant or advisor to attend event if needed
- Provide financial assistance for response, diagnostics/analyses and logistics to determine the cause(s) or contributory factor(s)
- Provide financial assistance for basic response and biological sample collection/analyses to inform high priority data gaps.

### **Stranding Coordinator responsibilities**

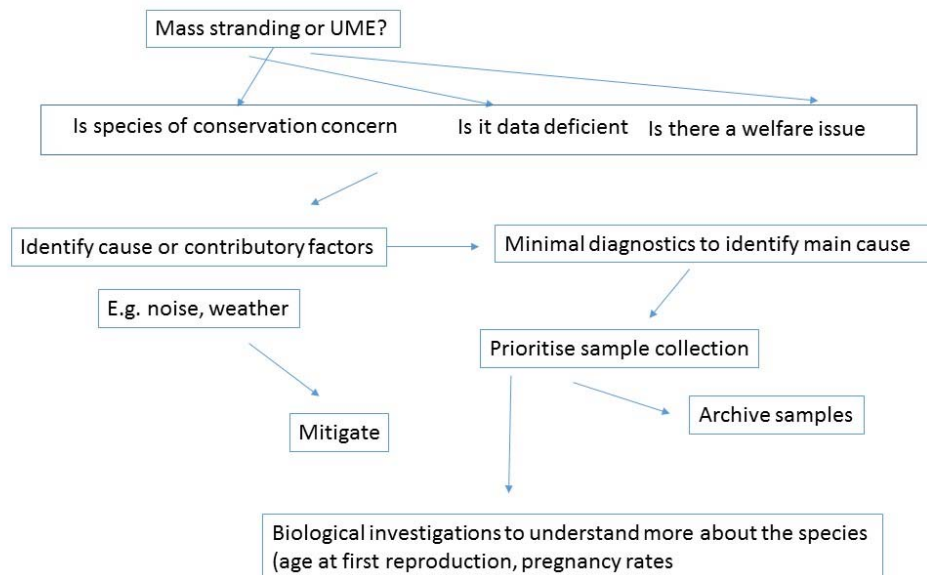
- Coordinate emergency responses and liaise with the Expert Panel and requesting organization and appropriate government(s) contacts.
- Establish Emergency Fund and system for management and evaluate fund raising strategies
- Work with CITES and IUCN Wildlife Health Specialist Group on strategy for international movement of diagnostic samples
- Establish strategies for fund-raising in order to support emergency response and diagnostics/investigations.
- Manage the Emergency Fund

### (C) METHODOLOGICAL APPROACH/WORK PLAN/ADMINISTRATIVE DETAILS

Specify the methods to be applied (novel methods require more explanation than standard ones) and the broad workplan – the detailed timetable appears under Item 5 below.

In the case of workshops and meetings, include the broad work plan including any pre-requisites for the workshop/meeting to take place (apart from funding, e.g. completed analyses, papers etc.) and administrative details (e.g. location, dates, number of participants).

Events will be evaluated as needed and assistance for response and investigations will be implemented as required according to the final communication flow, specific needs and final decision tree. In light of limited funding, prioritization will be given to support two main goals: 1) determination of cause(s) or contributing factor(s) of the event which may include targeted approaches based on event, species or population, and region and 2) collection of samples and information to fill data gaps on species or populations of special concern, events of critical need (i.e., noise and mass strandings), or critical conservation need. The funding need may include travel, sampling supplies, and analyses. All of these goals need to consider the welfare aspects of stranding response.



### (D) SUGGESTIONS FOR OUTREACH

Please, note that successful proponents will be requested to produce ad hoc material that will be used by the IWC Secretariat for dissemination and outreach.

Ongoing work with the Cetacean Diseases of Concern (CDoC) website, entanglement, bycatch, and marine litter initiatives can be used for collaboration and production of outreach materials.

## 6. TIMETABLE FOR ACTIVITIES AND OUTPUTS

Specify the timetable for project activities and expected outputs separately. For projects with multiple distinct elements please indicate interim goals and timeframes. Add as many rows as you need to the tables below. If publications are an expected output please note whether you will submit the manuscript to the IWC's Journal of Cetacean Research and Management.

Activity to be undertaken	Key person(s)	Start(mm/yy)	Finish (mm/yy)
Strandings Expert Panel (In Person) Meeting: Emergency Response committee member	ESPs; Coordinator	12/19	12/19
Strandings Expert Panel Emergency Response and Investigations Committee (Virtual) Meeting(s)	Emergency Response Committee; Coordinator	7/18	7/18
Develop final protocols, procedures for emergency response and funding decision making	ERC and steering committee	2019	Refinement 2020
Emergency responses (expected 1-3 over the 2 year period) as needed	Stranding Coordinator	2019	2020

Expected outputs	Completion date (mm/yy)
Operational protocols and procedures for emergency response and investigations	March 2019
Criteria for funding allocations and fund raising	March 2019-May 2020
Virtual meetings	2018 and 2019
In-person meeting	December 2019
Emergency Response as needed	2019-2020
Annual progress reports and updates on emergency responses, investigations, and lessons learned for each event to SC meetings	SC68a, SC68b

## 7. RESEARCHERS' (OR STEERING GROUP) NAME(S) AND AFFILIATION

Please, also specify if the project team has any direct connection (e.g. same research group or institute, collaborator on common project) with people involved or likely to be involved in taking the funding decision (e.g. IWC SC heads of delegations, SC convenors, etc.). Add as many rows as you need to the table below.

Name	Affiliation	Connection with decision
Milton Marcondes		Steering Committee member
Teri Rowles		Steering Committee member
Cheryl Rosa		Steering Committee member
Frances Gulland		Steering Committee member
Helena Herr		Steering Committee member
Katherine Ryeng		Steering Committee member
Paul Jepson		Steering Committee member
Rob Deaville		Steering Committee member
Sandro Mazzariol		Steering Committee member
Claire Simeone		Steering Committee member
Mark Simmonds		Steering Committee member
Raphaela Stimmelmayer		Steering Committee member
Bob Brownell		Steering Committee member
Tonya Wimmer		Steering Committee member
Hyunglee Lee		Steering Committee member
Javier Rodriguez-Fonseca		Steering Committee member
Mduduzi Seakamela		Steering Committee member
Jamie Rendell		Steering Committee member
Herman Oosthuizen		Chair, WKM & WI
Lorenzo Rojas Bracho		Chair, Conservation Committee
Caterina Fortuna	Secretariat	Ex Officio member
Greg Donovan	Secretariat	Ex Officio member
Sarah Smith	Secretariat	Ex Officio member
Sarah Ferris	Secretariat	Ex Officio member



## 8. TOTAL BUDGET

Breakdown into: (1) salaries/wages (include name/position of each individual and breakdown of time and duties); (2) travel/subsistence expenses (breakdown by person and justification) unless for IPs for workshops where a total estimate based on an average for the total number of IPs is acceptable; (3) services (e.g. aircraft/vessel time, consultancy fees, ARGOS fees, etc.); (4) reusable capital equipment (e.g. reusable equipment such as a hydrophone, cameras, etc. Note that this equipment will have to be registered at the IWC Secretariat and will remain property of the IWC at the end of the project), (5) expendable capital equipment (e.g. consumables, tags, stationery), (6) shipping costs, (7) insurance costs, (8) in kind co-funding (specify whether other funding is available for personnel/name, equipment, venues, etc.). Note that "Overheads" are not admissible. Add as many rows as you need to the table below.

### TO BE REFINED

#### (I) Emergency Response

Type	Detailed description	Cost in GB pounds
(1) Salaries (by person)	Part-time/full time Stranding Coordinator for two years	
(2) Travel/subsistence (by person or est. total for IPs)	Travel expenses (could include trainings, emergency response, IWC, conferences) Emergency response travel as needed	£4,000
(3) Services (by item)		
(4) Reusable equipment		
(5) Consumables	Supplies for sample collection and storage	£1,000
(6) Shipping (by Item)		
(7) Insurance (by item)		
(8) Co-funding		
(9) Other	Diagnostics, Analyses, and Synthesis for emergency responses	£4,000
<b>Total</b>	note that categories of expenditures must be flexible given the unpredictable nature of emergency response events and unused funds should be carried over to the next year if that is possible	£9,000

## 9. DATA ARCHIVING/SHARING

Please state your plans for data archiving and sharing. Note that data collected primarily under IWC grants are considered publicly available after an agreed period of time for publication of papers, usually about two years. The work of the IWC depends on the voluntary contribution of data to the various databases and catalogues IWC supports. Please consult the Secretariat ([secretariat@iwc.int](mailto:secretariat@iwc.int)).

All work will be reported to the Steering Group and, in turn, to the Commission committees, as well as made available on the IWC website. Any recommendations made by the Expert Panel will be shared with the IWC community.

#### 10. PERMITS (PLEASE TICK)

Do you have the necessary permits to carry out the fieldwork and have animal welfare considerations been appropriately considered?	N/A
Do you have the appropriate permits (e.g. CITES) for the import/export of any samples?	N/A

*If 'Yes' please provide further details and enclose copies where appropriate:*

All emergency responses will be conducted with the legal authority awarded to in-country organizations of governmental agencies for marine mammal emergency response and sample collection. If samples are to be exported, CITES export and import permits will be utilized if needed.

## Appendix 2 – DRAFT SCORING SHEET

If a project presents multiple primary objectives which are achieved using sub-projects, a sheet should be used to evaluate each sub-project. The criteria are not equally applicable depending on the nature of the project (e.g. field work versus workshops).

IWC SCIENTIFIC COMMITTEE PROPOSALS FOR FUNDING - REVIEW CRITERIA - TEST			
TITLE OF THE PROJECT/sub-projects:			
PRINCIPAL INVESTIGATOR:			
Key criteria	Explanation of scoring	Score	S
<i>Relevance to Scientific Committee priorities</i>			
1	How well aligned are the scientific outcomes of the project/activity with the current SC priority areas?	1 - Not aligned/poorly aligned (e.g. too vague or generic reference to general SC priorities) 2 - Reasonably aligned (e.g. some aspects may be vague or links are not clear) 3 - Well aligned (e.g. outcomes clearly deliver in the most part on priority areas, may also address longer term or potential future issues). 4 - Closely aligned (e.g. of interest for multiple sub-groups or delivers on specific SC high priority topics/recommendations in the immediate or short term).	
2	To what extent will the outcomes of the project/activity contribute to improvements in the conservation and management of cetaceans?	1 - Not at all 2 - Poorly 3 - Reasonably or over the longer term 4 - Well or over the medium term 5 - Excellently or to almost immediate effect	
<p><b>Note:</b> if in each of the two above key criteria under this section the project does not score singularly at least 2 points, do not proceed. A sub-group would only be developed if in their estimation scores were of 4 or above.</p>			
<i>Approach and methodology</i>			
3	What degree of scientific merit/value is there in carrying out the work?	1 - Not demonstrated or of low scientific value 2 - Useful/basic scientific value 3 - Very good scientific value 4 - Excellent/innovative scientific value	

4	Is the proposed methodology scientifically sound and feasible in terms of field and analytical methods?	1 - Feasibility unrealistic & poor methodology or not properly addressed 2 - Feasibility & methodology acceptable but would benefit from some substantial amendments 3 - Feasibility & methodology good, some small changes beneficial 4 - Feasibility & methodology excellent or a highly promising innovative approach to an important question facing the Committee	
5	What is the likelihood of success based on the proposed overall approach and methodology?	1 - No chance of success 2 - Low chance of success/better approaches available 3 - Medium chance of success/some changes to the approach necessary 4 - High chance of success/little or no changes to the approach necessary	
5a	Are objectives of the research likely to be achieved within the proposed time-frame?	1 - No or unlikely 2 - Partially or potentially ambitious 3 - Yes with some minor suggestions 4 - Yes	
5b	Are any proposed intermediary targets timely and achievable?	1 - No or unlikely 2 - Partially 3 - Probably 4 - Yes	
5c	Is the proposed time-frame/work necessary (e.g. can the project produce results in a shorter time period)?	1 - No or unlikely 2 - Partially 3 - Probably 4 - Yes	
5d	Is the sample size adequate to achieve the stated objectives?	1 - Not demonstrated/not properly addressed 2 - No or unlikely (too low/too high) 3 - Probably (additional analysis needed) 4 - Yes	
6	Is the project likely to affect adversely the population(s) involved?	1 - Not properly addressed/ unknown 2 - Yes severely 3 - Possibly at a low level 4 - No	
6a	<b>IF YES</b> , are analyses provided on simulations of the effects using different time-frames for the project if applicable?	1 - No 2 - Partially 3 - Yes	

**Note:** if in each of the above key criteria under this section the project does not score singularly at least 2 points, do not proceed in sub-group would only be developed if in their estimation scores were of 3 or above.

***Project team and Project management***

7	To what extent does the team have the relevant expertise, experience, and balance?	1 – Poor or not demonstrated 2 – Sufficient 3 - Very good 4 - Excellent	
8	Contingency plan: To what extent have potential problems/risks been considered and appropriate mitigation proposed?	1 – Poor or not demonstrated 2 – Sufficient but could be improved 3 - Fully or requiring only minor suggestions or not applicable	
<b><i>Value for Money</i></b>			
10	Does the project represent good value for money?	1 – No or significant amendments would be needed 2 – Yes but with some minor amendments 3 – Yes	
11	Have sufficient links been made to the wider research community/other organisations/capacity building.	1 – No 2 – Some but significant amendments needed 3 – Yes but with some minor additions 4 – Yes or not applicable	