

## Annex R

# Proposed Funding Mechanism for Allocation of IWC SORP Funds

The process for the allocation of funds from the IWC Southern Ocean Research Partnership (SORP) Research Fund is given below. The background to SORP, its objectives and a description of any funded projects are available on the SORP website<sup>1</sup> hosted by the Australian Antarctic Division.

### 1. Review by the SORP Steering Group (SSG)

1.1 All project descriptions and applications for funding will initially be sent to the SSG in accordance with the *pro forma* given as Appendix 1. The SSG is a Working Group of the IWC Scientific Committee with representatives from various countries that have expressed an interest in being involved with SORP. A list of the members of the SSG is included as Appendix 2.

1.2 The SSG will review the proposal and the budgetary requests taking into account:

- the objectives of SORP and the research priorities of the IWC;
- the likelihood of success of the researchers in meeting the stated objectives in the proposed timeframe;
- the degree to which the proposal is multinational;
- the geographical range of the field work and/or the researchers;
- any broader applications of the work for cetacean conservation biology; and
- the overall level of the budget compared to the available funds.

The SSG may suggest improvements to proposals where they believe this is appropriate and may solicit the assistance of other researchers in the review process.

Upon receipt of a final revised proposal (if necessary), the SSG will provide a short review of the proposal to the IWC Scientific Committee for consideration at its next meeting,

including comments on the issues outlined above and a concluding section recommending that the proposal and budget is fully supported, partially supported or declined.

### 2. Review by the IWC Scientific Committee

2.1 The SSG will present the recommended projects and budgets to the Scientific Committee in Plenary under a standing SORP Agenda item.

2.2 Following consideration (and potential revision) by the Scientific Committee, approved requests will be added to the Scientific Committee budget as a specific request to the SORP Research Fund (i.e. outside the normal Scientific Committee research budget)<sup>2</sup>.

2.3 This final budget request will then form part of the Report of the Scientific Committee and will be presented to the Commission for approval.

### 3. Review by the Commission

3.1 The Scientific Committee Report and associated budget will be considered by the Commission and the SORP funding requests will be approved during normal business.

### 4. IWC Secretariat to develop funding agreements with approved projects

4.1 Based on the proposals approved by the Commission, the Secretariat will organise contracts with the successful projects.

In addition to the normal funding process, the SSG is able to allocate a small discretionary amount (i.e. less than £4,000\*) for 'emergencies' or for issues that require urgent action (e.g. cannot wait until the next Scientific Committee meeting for approval). Such grants will be consistent with the objectives of SORP and the IWC, will be discussed and agreed by the SSG, and reported in the annual SORP report to the next Scientific Committee meeting.

<sup>1</sup><http://www.marinemammals.gov.au/southern-ocean-research-partnerships-sorp>.

<sup>2</sup>This is similar to the present process for the Small Cetaceans Fund and will ensure that the IWC SORP funds are only allocated to SORP projects.  
\*Editor's note: This was amended to £15,000 by the Commission.

## Appendix 1

### SORP RESEARCH PROPOSAL REQUEST *PRO FORMA*

International Whaling Commission, 135 Station Road, Impington, Cambridge, UK, CB24 9NP;  
Tel: +44 1233971 Fax: +44 1223 232876 E-mail: [iwc@iwcoffice.org](mailto:iwc@iwcoffice.org)

## SORP Research Proposal Request

Please complete the following sections in full and do not exceed the word limits indicated.

### 1. TITLE OF PROJECT (do not exceed 30 words)

### 2. DETAILS OF NAMED INVESTIGATORS (Principal Investigator first)

Name	
Address	
Email	
Nationality	
Domicile	

Name	
Address	
Email	
Nationality	
Domicile	

Please use one table per investigator.

### 3. DESCRIPTION OF PROJECT (do not exceed 3,000 words)

This should adequately explain the following aspects:

- (i) background to the proposal, underlying rationale **and relevance to SORP objectives and IWC needs;**
- (ii) specific objectives;
- (iii) scientific methodology and approach;
- (iv) programme or plan of research;
- (v) requirement for resources sought in this application; and
- (vi) any wider justification for the project.

### 4. CURRICULUM VITAE OF NAMED INVESTIGATORS (1 page per investigator)

### 5. BUDGET (If for more than 1 year, present annual budgets)

- (i) Salaries/wages (include name/position of each individual and breakdown of time and duties involved).
- (ii) Travel (breakdown by person and justification).
- (iii) Services (e.g. aircraft/vessel time; consultancy fees etc.).
- (iv) Non-expendable capital equipment (becomes IWC property upon completion).
- (v) Expendable capital equipment.
- (vi) Itemised shipping costs.
- (vii) Itemised insurance costs.
- (viii) OVERHEADS (Note: it is not standard IWC policy to pay overheads – however, in special circumstances these may be negotiated on a case-by-case basis with the secretariat. Inclusion of overheads may affect the likely success of the application).

### 6. OTHER GRANTS HELD FOR THIS OR OTHER RESEARCH, OBTAINED OR SOUGHT WITHIN THE PREVIOUS THREE YEARS (Provide details of amount, title of project and completion date)

### 7. PERMITS

- (i) Do you have the appropriate permits to carry out the field work, including, if NECESSARY, animal welfare considerations? Give details and enclose copies.
- (ii) Do you have the appropriate permits (e.g. CITES) for the importation of ANY samples? Give details and enclose copies if appropriate.

**8. SCHEDULE OF WORK, REPORTING AND USE OF RESULTS**

- (i) Expected completion of final report (note that an annual progress report is required).
- (ii) Will you submit a manuscript on the results to the *Journal of Cetacean Research and Management* upon completion of the work? (Whilst this is not a pre-requisite of a successful application, it will be taken into account). If not please state your publication plans.
- (iii) Will you agree to the use of the results of your study, if requested by the IWC Scientific Committee under its Data Availability Agreement that protects first publication rights of the researchers? Note that for fully funded IWC research, the data shall become publicly available after a mutually agreed period.

Yes	No
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**9. TWO REFEREES WHO COULD BE APPROACHED**

Name	
Address	
Email	

Name	
Address	
Email	

**Appendix 2****MEMBERS OF THE SORP STEERING GROUP**

The following is a list of the current members of the SORP Steering Group.

*South American Representation:*

Barbara Galletti (Chile)  
Miguel Iñíguez (Argentina)  
Fábia Luna (Brazil)

*North American Representation:*

Bob Brownell (USA)

*European Representation:*

Jean-Benoît Charrassin (France)  
Karl-Hermann Kock (Germany)

*African Representation:*

Herman Oosthuizen (South Africa)

*Oceania Representation:*

Simon Childerhouse (Australia – and co-ordinator role)  
Nick Gales (Australia)  
Vacant position (New Zealand or South Pacific)

*IWC Representation:*

Alex Zerbini (Chair of the Sub-committee on Other Southern Hemisphere Whale Stocks)  
Debra Palka (Chair of the Scientific Committee)  
Greg Donovan (IWC Head of Science)