

Annex 1

Guidelines for the Administration of the General Capacity Building Fund¹ (as provided by Regulation 6.2 of the Financial Regulations)

Objectives

1. The overall objectives of the Fund are to:
 - (i) support all Contracting Parties, with priority given to all those Contracting Parties that are least effective in the implementation of their obligations under the Convention. This priority shall be afforded on the basis of evidence-based need in accordance with these guidelines
 - (ii) create confidence and ability for Members to achieve the objectives of the Convention
 - (iii) improve Members' ability to contribute to the work of the Commission, and the Scientific Committee, their subsidiary bodies and the Secretariat
 - (iv) improve the overall system of operation of CCAMLR
 - (v) support the needs of individual Members
 - (vi) increase knowledge sharing and expertise between CCAMLR Members emphasising the value of cooperation.

Provisions

2. The Fund will be operated according to the following provisions:
 - (i) The Fund shall be used for specific projects, activities or travel support, or to address special needs of Members if the Commission so decides, aimed at enhancing Members' capacity to better achieve the objective of the CAMLR Convention. The Fund may also be used for assisting the Secretariat or Members to provide capacity building activities/opportunities to other Members.
 - (ii) The Fund shall be used primarily for projects or specific activities identified and proposed to be conducted by Members. Initiatives that build partnerships between Members or between Members and the Secretariat are encouraged.
 - (iii) The Fund shall also be accessible to Acceding States and non-Contracting Parties cooperating with the Catch Documentation Scheme for *Dissostichus* spp. (CDS) where the project, activity or travel support aligns with the objectives of the Fund and has the support of one or more Members.

¹ Guidelines for the Administration of the General Capacity Building Fund (hereafter the 'Fund').

- (iv) The Fund shall not be used for routine Member or Secretariat activities, unless it is aimed to increase the diversity and effectiveness of meetings, through attendance, participation and chairing meetings.
- (v) Where there is more than one application from a Member, the Member will be asked to rank the applications in their preferred order. The Panel will consider applications in this order.
- (vi) The Fund will support projects/activities that address the needs identified by the Capacity Building Workshop and included at Attachment 1 except if these activities could be supported by another Special Fund maintained by the Commission. The types of projects/activities that the Fund will support include:
 - (a) educative activities such as ensuring that many different interest groups involved in CCAMLR (such as scientists, fishers, fishing industry and supply chain companies, policy makers, etc.) understand the conservation measures and individual obligations
 - (b) mentoring and partnership programs (where partnerships are developed on the basis of geographic operation or other consideration) which can be between Members, the Secretariat or other stakeholders as determined by the Panel and approved by the Commission from time to time
 - (c) the development of organisational capacity through training courses and work programs and secondments or internships
 - (d) projects, activities and meeting support to increase the diversity and effectiveness of meetings, through attendance, participation and chairing meetings
 - (e) other activities, as shall be decided by the Panel and approved by the Commission.

3. The Financial Regulations of the Commission shall apply to the Fund. The use of the Fund shall be underpinned by the principles of transparency and accountability.

Resourcing

4. The Fund will be open to voluntary contributions and to specific allocations made from dormant special funds following the mechanism agreed by CCAMLR in 2018 (SCAF-2018, paragraph 53) or from the surplus of the General Fund, as decided by the Commission.

Procedures for applications for specific projects or activities seeking support from the Fund

5. The following procedures will apply:

- (i) Proposals for specific projects or activities may be made by Members, by the Commission or the Scientific Committee and their subsidiary bodies, or by the Secretariat.
- (ii) Proposals being submitted shall, as a minimum, include:
 - (a) a description of the project and/or scope of the project/activity
 - (b) a statement of the anticipated benefit to the Member(s) and CCAMLRL
 - (c) an outline of how the project addresses a capacity building need as identified in Attachment 1 and modified from time to time by the Commission
 - (d) details of the project timeline, budget and when the outcomes will be reported to CCAMLRL
 - (e) explanation of reasons why applicants cannot undertake project without the assistance of the Fund (for example, lack of funding, expertise or staffing).
- (iii) Applications by those eligible to access the Fund shall be submitted to the Executive Secretary in the form contained in Schedule A for general applications, no later than 15 July each year. The Executive Secretary shall promptly circulate any such applications to the Panel established to review the proposals.

Provision of funds

6. Projects will be funded 30% of the approved budget upon the signing of the Deed of Funding by all relevant parties.

7. Interim payments will be released as outlined in the Deed of Funding, typically upon the reaching of milestones or the acceptance of interim reports.

8. The last payment will be made when the final report is accepted by the Panel and the Commission meeting of that year.

Assessment of Applications

9. The Commission will designate no less than six Members to serve on a Panel, each of which shall serve for a term of two years and may serve no more than two consecutive terms, to review proposals and to make recommendations to the Commission on whether to fund proposals.

10. The Commission will select the Members of the Panel. To achieve this, the Commission will call for nominations.

11. The Panel should seek to be comprised of representatives with a range of suitable expertise who are capable of assessing proposals that span science-related work; compliance and management; institutional affairs; and developing data and information systems to support decision-making. Where necessary, Panel members may seek expert advice on specific proposals.

12. The Panel will receive applications by 1 August each year and will meet virtually prior to the Commission meeting. The Panel will meet during the first week of the Commission's annual meeting and shall make a recommendation for funding to the Standing Committee on Administration and Finance (SCAF). To avoid conflict of interest, a Panel member will be excluded from the discussion of applications from which their country would directly benefit.

13. When reviewing specific projects or activities, the Panel shall apply the selection and evaluation criteria contained in Schedule B for assessing applications for capacity building. In doing so, the Panel shall consider how closely aligned to the capacity building needs, as identified in Attachment 1, the project is, the availability of funds, whether the project is value for money, the number of Members benefiting from the project and the geographic spread of benefit.

14. Components of applications that are eligible for funding from another CCAMLR fund will be ineligible for funding from the General Capacity Building Fund (the Fund).

15. The Panel shall report its recommendations on new applications to the Commission. SCAF shall consider the recommendations of the Panel and decide on appropriate projects and funding as a standing agenda item at its annual meeting and make a recommendation to the Commission.

16. A blended model of funding using the Fund and other suitable, operational CCAMLR funds, can be considered by the Panel. To facilitate this, the Chair of the Panel and the Secretariat will make inquiries of the decision-making bodies of those funds.

17. The proposed management of the funding is a transfer from the relevant other CCAMLR fund to the Fund with the Panel acting as coordinator of the grant funding and ensure all reporting and budget criteria are met. The Secretariat will assist with the coordination as required.

Procedure for travel assistance to a meeting/workshop

18. The Commission shall, each year, define an amount of money from the Fund that the Panel may allocate to supporting travel applications. The Panel shall have the authority to grant applications for travel assistance, up to this limit, according to the priority indicated by the selection and evaluation criteria contained in Schedule D.

19. In assessing applications for travel assistance to a meeting, the Panel shall apply the criteria for selection and evaluation as contained in Schedule D and be guided by the purpose of the Fund, the provisions of the Convention, the financial needs of the applicant and the availability of the Fund.
20. The Fund will only fund applications for travel to attend CCAMLRL-related meetings.
21. The closing date(s) for application for travel assistance to a meeting will be defined by the Panel as appropriate. The Panel may define more than one closing date each year. Late applications will not be accepted. The Panel shall take a decision within three weeks of the due date of applications.
22. The applicants will receive confirmation of the level of support granted, according to the outcomes of the matrix in Schedule D, as soon as possible.
23. The following conditions shall apply to the travel support granted:
- (i) maximum limits for airfare and hotel accommodation shall apply, being economy class airfare and the relevant United Nations per diem rate
 - (ii) the Head of Delegation, or, alternatively, the applicants themselves, shall be required to sign a statement disclosing details of additional funding, if any, obtained or sought for this travel
 - (iii) the applicants shall make travel arrangements according to the type and level of support granted
 - (iv) the applicants shall provide adequate supporting documents to the Secretariat to prove the travel costs declared within two months of the end of the meeting, such as invoices, hotel booking/receipts, air tickets and air flight boarding cards in the context of the checks or audits for the Secretariat's accounting records.
 - (v) in the event that a travel grant recipient is unable to attend the meeting for which funding is awarded, it is expected that funds awarded are returned to the GCBF as soon as is practical. Applicants are encouraged to make provisions to facilitate this in consultation with the Secretariat.

Reporting

24. Where a Member(s) project is being funded according to paragraph 5, with the exception of paragraph 22 below, that Member(s) shall provide an annual report on the progress of the project, including details of the expenditure on the project. The report shall be submitted to the Secretariat no later than 15 July. When the project is completed, that Member shall provide a final statement of account certified as appropriate and approved by SCAF.
25. Where the funding is provided solely in relation to travel for attendance at meetings, a simplified report shall be appropriate detailing the staff involved and meetings attended.
26. The Secretariat shall report to the annual meeting of the Commission on the activities of the Fund, including its income and expenditure. Annexed to the report shall be reports on the progress of each project being funded by the Fund, including details of the expenditure on each project, and a summary of travel grants issued. The report will be circulated to Members in advance of the annual meeting.

27. Ongoing and final project reports will be circulated to Panel members on, or before, 1 August for consideration. The Panel will meet (virtually if necessary) to review these reports and to formulate recommendations on all ongoing projects for the upcoming Commission meeting.
28. The Panel may consider a recommendation to cancel an ongoing project. Such a recommendation shall be exceptional and shall consider progress made to date and likely progress in the future. Such consideration will be communicated to the project coordinator who will have an opportunity to present a case for continuation of funding to the Panel.
29. A working paper will be presented annually to the Commission and will present recommendations on the following:
- (i) new applicant projects and recommendations regarding their funding
 - (ii) a report on all the applications for travel assistance that it has approved and granted through the year
 - (iii) report to the Commission annually on the operation of the Fund procedures
 - (iv) report of the activities for all ongoing grants and note those that have been completed.
30. The Commission shall review the Panel's report of all ongoing projects at its annual meeting as a standing agenda item and reserves the right, after notice, to cancel a project at any time should it decide that it is necessary.
31. The Commission may modify these provisions at any time.

Accounting

32. Appropriate records and accounts shall be maintained for the Fund, and the Executive Secretary shall report the status of the Fund, the amount used to provide assistance for the development of capacity building and details of such assistance, together with the level of available funds, during the annual meeting of the Commission.

**Relationship between the objective of the capacity building program
and the needs that will be addressed by the program**

Objective	Focus area	Needs
Article II of the Convention	Research and science	<ul style="list-style-type: none"> • Research plan quality • Data reporting quality • Observer skills • Scientific skills • Marine protected area science
	Compliance and management (conservation measures)	<ul style="list-style-type: none"> • Catch Documentation Scheme for <i>Dissostichus</i> spp. implementation • Inspections/reporting • Understanding Member and vessel obligations • Combatting illegal, unreported and unregulated fishing
	Cooperation, engagement and administration	<ul style="list-style-type: none"> • Attendance at meetings and workshops • Early career researchers and gender diversity • Accessing States/non-Contracting Parties/regional fisheries management organisations and others as identified from time to time by the Commission

**Application form for assistance from
the General Capacity Building Fund¹**

1. Project Summary (250 words maximum)

A Project Summary shall be submitted with the application. This will detail, at a minimum, the following:

- (i) CCAMLR Member, Acceding State² or Party cooperating with the Catch Documentation Scheme for *Dissostichus* spp. (CDS)
- (ii) activity proposed (guidelines, paragraph 2.iii)
- (iii) needs addressed (guidelines, Attachment 1)
- (iv) budget requested
- (v) project start date and duration
- (vi) anticipated outcome
- (vii) reason/s why applicants cannot undertake project without assistance from the Fund.

2. Proposal narrative (six pages maximum)

(i) Introduction

- (a) Situation, need and previous efforts – gaps in knowledge or capabilities, why the proposed project should be performed, review significant related work and how the project is relevant to the purpose of the Fund, and specific need addressed by project as identified in Attachment 1.
- (b) Objective(s) – the anticipated outcome(s).
- (c) Applications, benefits, and importance – how the anticipated results relate to the purpose/objectives of the Convention and the expected benefits including an outline of how the project addresses a capacity building need(s) as identified in Attachment 1 and how the project will improve the capacity of the beneficiary to assist in fulfilling its obligations under the Convention, and participate effectively in the work of the organisation.
- (d) Will the project benefit more than just the beneficiary? Does the capacity building activities target a number of Members?

(ii) Method and approach

- (a) Description of major activities and tasks – describe the tasks that must be performed to accomplish the objective(s) (as listed in the guidelines paragraph 2(v)(a)–(e)). For applications for supported meeting attendance (guidelines, paragraph 2(v)d), list the meetings.

² An Acceding State or non-Contracting Party (NCP) cooperating with the CDS may apply to the Fund where an application has the support of a Member.

- (b) Follow-up action – identify follow-up action after completion of the project, including when and how the outcomes will be reported to CCAMLR.
 - (c) Describe which existing organisations, either at a regional or national level, could assist with coordination or capacity building and have these been approached for this assistance?
- (iii) Project management
 - (a) Administration – the administrative responsibilities and authority of those involved in the execution of the proposal – particularly those of the overall project manager (including full contact details).
 - (b) Roles/assignments and participation time – the team composition, estimate of the duration of the project and project timeline.
- (iv) Literature cited
 - (a) References used in the proposal narrative.
- (v) Budget and audit
 - (a) General information – when did the applicant last receive assistance from the Fund.
 - (b) A fully itemised budget including co-financing and funding in-kind – a detailed budget identifying all sources of funding and items of anticipated expenditure shall be provided.
 - (c) Applications must be made in Australian dollars.
 - (d) Audit – applicants should note that an audit will be mandatory for any funding over A\$200 000 and may be required by the Panel for funding less than A\$200 000.
- (vi) Biographies and qualifications
 - (a) A brief biography for each team member that highlights education, experience and publications related to the proposed project shall be provided.
- (vii) All applications must be accompanied by a letter of support from one or more Members.

**Selection and evaluation criteria to be used by the Commission
for assessing applications for capacity building**

1. Needs

- (i) A Member that is two or more years in arrears shall be ineligible for funding.
- (ii) Applications that are eligible for funding from another CCAMLRL fund will be ineligible for funding from the General Capacity Building Fund¹.
- (iii) Does the project address a **need** that is identified in the guidelines, Attachment 1?
- (iv) Does the proposal make it clear that the Member has this specific need?
- (v) Will the project adequately address the need, and improve the capacity of the beneficiary to assist in fulfilling its obligations under the Convention, and participate effectively in the work of the organisation?
- (vi) Assessment of applications will also consider positively whether the Member has a low existing engagement in CCAMLRL's work, measured, for instance and where relevant, by the following:
 - (a) low number of papers submitted per year
 - (b) low infrastructure, including bases a Member has in Antarctica
 - (c) small size of delegation at each CCAMLRL meeting.
- (vii) Has the applicant articulated the reason(s) the project will not proceed without assistance from the Fund?
- (viii) Is a letter of support from Member(s) attached?

2. Projects/activities and objectives

- (i) Are the approach, methods, outcomes and objectives clearly set out?
- (ii) Does the project address the wider objectives of the Fund (guidelines, paragraph 1) to:
 - (a) create confidence and ability for Members to achieve the objectives of the Convention
 - (b) improve Members' ability to contribute to the work of the Commission and the Scientific Committee, their subsidiary bodies and the Secretariat
 - (c) improve the overall system of operation of CCAMLRL
 - (d) support the needs of individual Members

- (e) increase knowledge sharing and expertise between CCAMLR Members emphasising the value of cooperation?
 - (iii) Does the application seek to apply one of the identified projects/activities (guidelines, paragraph 2(v)(a)–(e))? If not, is this new project/activity justified in terms of addressing the identified need?
 - (iv) Will the project benefit more than just the beneficiary? Does capacity building target a number of Members across a wide geographical area (guidelines, paragraph 13)?
 - (v) Is maximum use made of other existing organisations, either at regional or national level, to coordinate and assist with capacity development?
3. Costs and capacity
- (i) Is the project value for money; are the proposed costs of the activity reasonable and in proportion to the likely benefits?
 - (ii) Has the applicant received prior support from the Fund? If so, was the activity successful?
 - (iii) Does the applicant have the demonstrated capacity to benefit fully from the project and ensure the outputs are fully utilised?
4. Outcomes
- (i) How will the success of the intervention be measured?
 - (ii) Is there provision for disseminating information on the project's activities and results to CCAMLR and an appropriate range of stakeholders?

The table below shows how the above criteria will be applied by the Panel:

Member ³ :			
Project title:			
Funding sought:			
Evaluation criteria	Yes/No	Weight	Score ⁴ (between 1 and 5, or scores in between)
Is the application from a Member which is two years or more in arrears in their contribution? If 'yes' the Member is ineligible for funding from the Fund ¹ .			If 'yes' the application is ineligible for funding
Can the application be funded through another CCAMLR fund?			If 'yes', the application should be transferred to the relevant fund for consideration
Is the applicant unable to carry out the project without assistance from the Fund?		3	
Does the Member have a low existing engagement in CCAMLR (e.g. low number of papers produced per year, limited infrastructure (research platforms, fishing vessels, bases in Antarctica), small size of delegation to CCAMLR)?		2	
Does the project address a need that is identified in guidelines, Attachment 1? Does the proposal make it clear that the Member has this specific need?		3	
Will the project adequately address the need, and improve the capacity of the beneficiary to assist in fulfilling its obligations under the Convention, and participate effectively in the work of the organisation?		2	
Does the project address the wider objectives of the Fund (guidelines, paragraph 1)?		3	
Are the approach, methods outcomes and objectives clearly set out?		2	
Does the application seek to apply one of the identified projects/activities (guidelines, paragraph 2v)? If not, is this new project/activity justified in terms of addressing the identified need?		2	
Will the project benefit more than just the beneficiary? Does capacity building target a number of Members across a wide geographical area (guidelines, paragraph 9)		1	
Is the project value for money; are the proposed costs of the activity reasonable and in proportion to the likely benefits?		3	
Is maximum use made of other existing organisations, either at regional or national level, to coordinate and assist with capacity development?		1	
Needs evaluation score ⁵			

³ Includes Acceding States or non-Contracting Parties cooperating with the Catch Documentation Scheme for *Dissostichus* spp., where an application has the support of a Member.

⁴ Where 1 = Poor, 2 = Fair, 3 = Good, 4 = Very Good, 5 = Excellent.

⁵ An application must score over 60% of the total possible score in order to be considered.

Application form for travel support to attend a meeting/workshop

1. Applicant basic details:

Full name: _____

Position: _____

Organisation: _____

Email: _____

Delegation ⁶: _____

2. Type of support (please select one or more options):

☐ **Travel (only available for CCAMLR-related meetings)**

Meeting: _____

Dates: _____

Economy flight expenditure A\$ _____

☐ **Per diem**

Dates required: _____

Number of days required ⁷: _____

Other details: _____

Per diem total amount will be completed by the Secretariat.

3. Has the applicant previously participated in Commission, Scientific Committee or working group meetings and/or workshops?

☐ Yes

☐ No

⁶ An Acceding State or non-Contracting Party cooperating with the Catch Documentation Scheme for *Dissostichus* spp. may apply to the Fund where an application has the support of a Member.

⁷ The per diem funding will be provided for the day/s of the meeting and two days travel – to the meeting and return.

4. Will the applicant play a significant role during the meeting? *Responses should be a minimum of 50 words and no more than 200 words in length.*

☐ Yes (please elaborate)

☐ No

5. Will the applicant receive other financial assistance to attend this meeting?

☐ Yes

Details: _____

☐ No

6. Please explain why funding from the General Capacity Building Fund is required for this travel? *Responses should be a minimum of 50 words and no more than 200 words in length.*

7. Please include a letter of support from your Head of Delegation with your application.

**Selection and evaluation criteria to be used by the Panel
for assessing applications for travel support**

1. A Member that is two or more years in arrears shall be ineligible for funding.
2. Is the application for support to travel to a CCAMLR-related meeting?
3. Is the applicant from a Member⁸ with a clear **need** for assistance to deliver the Objectives of the Fund¹ (guidelines, paragraph 1)?
4. Is a letter of support from the applicant's Head of Delegation attached?
5. Reason/s why funding is not provided by the Member or applicant's organisation?
6. The annual total claims to the travel portion are limited to 20% of the balance of the Fund provided that this is limited to a maximum of A\$40 000 per year.
7. Is the applicant the only representative of a Member at the meeting, or part of a small delegation where the size of the delegation restricts the ability of the Member to fully engage and deliver the objectives of CCAMLR?
8. Will the applicant play a significant role during the meeting such as Chair/Vice-Chair, Head of Delegation (HoD) of the meeting?
9. Does the applicant represent a Member who does not have any outstanding financial contribution to the Commission?
10. Has the applicant previously participated in CCAMLR meetings/workshops?
11. Will the applicant receive other financial support for attending the meetings/workshops?

⁸ Includes Acceding State or non-Contracting Party cooperating with the Catch Documentation Scheme for *Dissostichus* spp., where an application has the support of a Member.

The table below shows how the above criteria will be applied by the Panel:

Meeting/workshop:		
Name:		
Delegation:		
Evaluation criteria	Yes/No	Score ⁹ (between 1 and 5 or scores in between)
Is the application from a Member which is two years or more in arrears in their contribution? If 'yes' the Member is ineligible for funding from the Fund ¹ .		
Is the application for a CCAMLR-related meeting?		
Can the application be funded from another CCAMLR fund?		
Is the applicant from a Member with a clear need for assistance to deliver the objectives?		
Is the applicant the only representative of a Member at the meeting, or part of a small delegation where the size of the delegation restricts the ability of the Member to fully engage and deliver the objectives?		
Will the applicant play a significant role during the meeting such as Chair/Vice-Chair, HoD during the meeting?		
Has the applicant previously participated in CCAMLR meetings/workshops?		
Will the applicant receive other financial support for attending the meeting/workshop?		
Score		

⁹ Where 1 = Poor, 2 = Fair, 3 = Good, 4 = Very Good, 5 = Excellent.

Terms of reference for the General Capacity Building Fund¹ Panel

The following draft terms of reference shall apply to the Panel:

1. Composition of Panel

- (i) The Commission will designate no less than six members to serve on a Panel to review proposals and to make recommendations to the Commission on whether to fund proposals. Members of the Panel shall serve for a term of two years and may serve no more than two consecutive terms.
- (ii) Members of the Panel may nominate individuals with particular expertise that covers different disciplines. The different disciplines are defined in term of reference 3(i).
- (iii) The panel should reflect the diversity of Members of the Commission. Diversity includes language, geographic spread and gender.

2. Co-option of members

- (i) It is recommended that a process be developed so that the Panel, through its Chair, can co-opt members through Commissioners.

3. Expertise

- (i) The Panel should seek to include representatives spanning the Commission, Scientific Committee, Standing Committee on Implementation and Compliance and Standing Committee on Administration and Finance. The Panel should seek to be comprised of representatives with a range of suitable expertise who are capable of assessing proposals that span science-related work; fisheries compliance and management; institutional affairs; and developing data and information systems to support decision-making.

4. Functions

- (i) The Panel shall approve the method of application.
- (ii) The Panel shall consider the applications submitted and make recommendations to the Commission.

5. Regularity of meetings and reporting

- (i) The Panel shall meet in person during the first week of the Commission meeting.
- (ii) The Panel Chair may call an extraordinary meeting. The conditions for calling an extraordinary meeting shall be agreed by the Panel.
- (iii) The Panel will agree upon a provisional calendar of meetings at the first Panel meeting of the year.

6. Vacancy management
 - (i) The Panel will decide a replacement considering the rules for the composition of the Panel and the remaining Panel member composition.
7. Decisions
 - (i) Decisions will be made according to the rules of the Commission.
8. Chairing
 - (i) Members of the Panel will nominate the Chair.
9. Convening of meetings
 - (i) The Chair will convene the meetings of the Panel. Assistance will be provided by the Secretariat as required.
 - (ii) A quorum of one half + 1 of the Panel's membership must be in attendance in order for the meeting to proceed.
 - (iii) If the Panel, having exhausted every effort, is unable to reach a quorum for a synchronous meeting it may consider the possibility of moving to a written decision-making process, involving the provision of a concrete proposal from the Panel Chair for approval by the Panel Members if considered appropriate.
10. Term of office
 - (i) The term of office is a period of two years. The Commission will consider staggering expiration of terms.
11. Code of conduct
 - (i) Will be in line with the Rules of Procedure of the Commission.
12. Declaration of interests
 - (i) To avoid conflict of interest, a Panel member will be excluded from the discussion of applications from which their country would directly benefit.