

**Report of the Standing Committee on  
Administration and Finance (SCAF)**

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## **Report of the Meeting of the Standing Committee on Administration and Finance (SCAF)**

### **Opening of the meeting**

1. Mr K. Timokhin (Russia), serving as Chair of the Standing Committee on Administration and Finance (SCAF) for its 2019 meeting, facilitated discussions on Item 4 of the Commission's agenda.

### **Annual Financial Statements**

#### Examination of Audited Financial Statements for 2018

2. Consistent with Financial Regulation 11.1, a full audit of the 2018 Financial Statements was completed in early 2019 (see COMM CIRC 19/68). The audit had identified no incidents of non-compliance with Financial Regulations or International Accounting Standards. SCAF accepted the Financial Statements as presented in CCAMLR-38/03 and recommended these be accepted by the Commission.

### **Report of the Secretariat**

#### Executive Secretary's Report

3. The Executive Secretary introduced CCAMLR-38/05, noting his report included:
- (i) a first-year implementation report for the Secretariat's Strategic Plan (2019–2022) and associated Staffing and Salary Strategy
  - (ii) a basis for the assessment of the Executive Secretary's performance
  - (iii) addressing the requirement to report on data-related activities and measures taken to maintain the integrity of CCAMLR data (SC-CAMLR-XVI, paragraph 10.14).
4. The Executive Secretary highlighted a number of activities, including the work completed by the Intersessional Correspondence Group on Sustainable Financing (ICG-SF), assisting South Africa with the Capacity Building Workshop, the establishment of the Data Centre, delivery of Catch Documentation Scheme for *Dissostichus* spp. (CDS) training to Colombia, Ecuador, Indonesia and Thailand and support for the Scientific Committee's intersessional activities. He highlighted significant progress in delivering the core themes of the Strategic Plan, including internationalisation of the Secretariat, improvements in data management and support services.
5. SCAF thanked the Executive Secretary and the Secretariat on the excellent progress made on the Strategic Plan and other initiatives during the year. Attention was drawn to the positive work completed in the area of human resources, including staff wellbeing, the external staff survey, the new appraisal system, the increasing presence of international posts and the full complement of staff.

## Review of the Staff Regulations

6. In 2018, SCAF recognised that the Secretariat would undertake some additional review of the Staff Regulations in 2019 (CCAMLR-XXXVII, Annex 7, paragraph 18). The Secretariat presented the results of this review in CCAMLR-38/07 and reported that the review of the Staff Regulations was completed after extensive consultations with staff, as well as with experts in Australian employment requirements. The aim of the majority of the changes was to update, simplify and remove unnecessary duplications. In addition, there were changes to the provision of superannuation for General Services Staff and additional leave granted on the grounds of compassionate reasons.

7. SCAF approved all changes to the Staff Regulations presented in CCAMLR-38/07 with the exception that:

(i) paragraph 1.2.3(d) was amended by SCAF as follows:

1.2.3 The employee shall conduct themselves in a manner in keeping with the international character of the Commission, and

d) not seek, or accept, instructions from any government, ~~or authority,~~ organisation or person outside other than the Commission relating to their work for the Commission

(ii) the proposed changes to national police check and the medical clearance were replaced with the existing requirements. SCAF requested the Secretariat obtain further advice on this matter and revisit this issue at SCAF in 2020.

8. SCAF recommended that the Commission endorse the revised Staff Regulations as presented in CCAMLR-38/07 taking into account the changes in paragraph 7.

## **Consideration of intersessional work (sustainable financing, capacity building)**

9. The Secretariat, as Convener of the open-ended ICG-SF established by the Commission (CCAMLR-XXXI, Annex 7, paragraph 13), presented a progress report (CCAMLR-38/10) on intersessional consultations to further evaluate income-generating and cost-saving options (CCAMLR-XXXIII, Annex 7, paragraphs 14 and 15).

## Tasks advanced during 2018/19

10. In the 2018/19 intersessional period, the ICG-SF was tasked by SCAF with examining a number of options for reforming the system of notification fees for CCAMLR fisheries (CCAMLR-XXXVII, Annex 7, paragraphs 27 to 58). SCAF defined specific terms of reference (CCAMLR-XXXVII, Annex 7, paragraph 37):

- (i) propose a revised formula that removes the refundable portion of the notification fee and generates at least the same income to the General Fund as the 2019 formula presented in CCAMLR-XXXVII/08 Rev. 1 and described in CCAMLR-XXXVII, Annex 7, paragraph 34, considering, inter alia:
  - (a) whether notifications for research fishing under Conservation Measure (CM) 24-01, paragraph 3, should require a notification fee
  - (b) the relative costs of administering and managing krill and new and exploratory toothfish fisheries, including consideration of fees per subarea where appropriate
  - (c) whether to harmonise the notification fees between krill and new and exploratory toothfish fisheries
- (ii) consider the frequency at which notification fees should be revised in relation to inflationary consumer price index (CPI) changes.

11. SCAF recognised the work undertaken by the Secretariat to provide a detailed breakdown of the costs of the administration of fishery notifications and the management of fisheries, and the significant contributions of many Members to the ICG-SF debate.

12. The following recommendations of the ICG-SF (CCAMLR-38/10) were endorsed by SCAF:

- (i) the current deposit component of the notification fees would be discontinued from 2020
- (ii) fees for krill notifications would be set 5% lower than fees for non-krill notifications. This reflects the lower cost of administering krill notifications relative to toothfish notifications. It does not, however, reflect the higher cost of managing krill fisheries relative to toothfish fisheries
- (iii) SCAF endorsed the fee structure for 2020 and 2021 recommended by the ICG-SF (CCAMLR-38/10, Table 2) and the recommendation that notification fees for subsequent years will be increased annually by CPI as it applies to Hobart at 30 June each year:
  - (a) all non-krill, new and exploratory fishing fees for 2020 will be a single non-refundable fee of A\$8 319 for each vessel notified for each fishery and A\$8 527 for 2021
  - (b) all krill fishing fees for 2020 will be a single non-refundable fee of A\$7 903 for each vessel notified for each fishery and A\$8 100 for 2021
- (iv) notification fees for subsequent years will be increased annually by CPI as it applies to Hobart at 30 June each year.

13. SCAF endorsed the principle that a notification fee should apply to notifications under CM 24-01, paragraph 3, given the administrative costs associated with processing fisheries notifications and monitoring. Recognising that the intent of such a fee should not be to

discourage research proposals in any way, given the importance of science within the Antarctic Treaty System, SCAF recommended that each multi-vessel proposal should have a single-notification fee equal to the fee for non-krill new and exploratory fisheries, and each single vessel proposal should have a notification fee 50% of the fee for non-krill new and exploratory fisheries.

14. SCAF endorsed changes to CMs 21-01, 21-02, 21-03 and 24-01 to accommodate the changes to notification fees (CCAMLR-38/10, Annex 1) and endorsed the notification fee procedures laid out in CCAMLR-38/10, Annex 1, as amended in accordance with paragraph 13 (Appendix I).

15. SCAF advised that the ICG-SF was not required to meet during the 2020 intersessional period.

16. SCAF recommended the adoption of these changes by the Commission.

#### Capacity building

17. In 2018, the Commission established an ICG on Capacity Building (ICG-CB) with terms of reference given in CCAMLR-XXXVII, Annex 8. South Africa, as Convener of the ICG-CB, presented the report of its work (CCAMLR-38/06).

18. South Africa noted the success of the Capacity Building Workshop in Cape Town from 8 to 10 April 2019 which was attended by participants from 13 Members and established terms of reference for a General Capacity Building Fund (GCBF) and guidelines for the Capacity Building Fund Panel.

19. SCAF endorsed the report of the ICG-CB and thanked South Africa for the work completed through the ICG-CB and for hosting the workshop. SCAF also expressed thanks to the Republic of Korea (Korea) for funding the workshop from the Korea Contribution Fund.

20. The Secretariat presented the Guidelines for the Administration of the GCBF (CCAMLR-38/BG/19), which were developed by the ICG-CB subsequent to the workshop.

21. SCAF agreed the following amendment to the objectives of the GCBF:

- (i) The GCBF shall be used to 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 the CCAMLR-GCBF guidelines.

22. SCAF endorsed the establishment of a GCBF and the Guidelines for the Administration of this Fund, as amended in Appendix II.

23. SCAF endorsed funding of A\$200 000 to be transferred to the GCBF from the General Fund in 2020. SCAF agreed to look into options for sustainable financing of the GCBF in the next intersessional period.

24. SCAF recommended the establishment of the GCBF, endorsement of the guidelines and the establishment of the panel by the Commission.

25. SCAF noted that there will be a call for volunteers to the GCBF Panel after its establishment by the Commission and these positions needed to be filled before the end of the meeting.

### **Consideration of the Second Performance Review (PR2)**

26. The Executive Secretary introduced CCAMLR-38/11. The following additional recommendations of the Second Performance Review (PR2) have now been implemented:

- (i) a GCBF has been established (Recommendation 28)
- (ii) notification fees have been restructured and will be subject to annual inflationary increases, strengthening the sustainable financing of the Commission's work (Recommendation 29).

### **Consideration of Dormant Funds**

27. SCAF recalled that in 2018 the Commission endorsed the recommendation of SCAF with respect to Dormant Funds (CCAMLR- XXXVII, Annex 7, paragraph 53):

- (i) If a Special Fund remains inactive in expenditure for two consecutive years, and in any case every 5 years, the Commission shall undertake a review to see if a Special Fund is still meeting its intended needs, and, if appropriate, the Commission shall terminate the fund and transfer the balance to an alternative, active, Special Fund.

28. SCAF noted that as of October 2019 this rule applied to four Special Funds (CCAMLR-38/09).

#### **Observation Scheme – USA Special Fund and Compliance and Enforcement – USA Special Fund**

29. The United States of America (USA) advised that, in order to consider whether these funds should be closed or how they could best be utilised in the future, it would need to conduct further consultations within the USA and advise appropriately in the future.

#### **Vessel monitoring system – USA Special Fund**

30. The USA advised that this Fund could reasonably be used for the vessel monitoring system (VMS) expenditure. It advised the Secretariat that appropriate costs relating to the ongoing maintenance of the VMS could be set against this Fund in 2020 with a view to closing it once all remaining Funds had been expended.

## Enforcement Fund

31. In 2008, the Commission received a US\$10 000 (A\$11 410) donation from a non-profit education and research foundation, the Ocean Trust, to assist with compliance and enforcement in the toothfish fishery, which was placed in the Enforcement Special Fund. The balance of this Fund is now A\$14 882.
32. SCAF considered several options for how to use this dormant Fund, including transferring the balance to the CDS Fund.
33. SCAF noted the proposal from INTERPOL (CCAMLR-38/BG/05) to hold an illegal, unregulated and unreported (IUU) fishing workshop in Namibia in 2020. This workshop will address high-risk vessel inspections involving countries more exposed to such landings.
34. INTERPOL was invited to brief SCAF on aspects of the workshop in terms of participation and funding already available. It advised that more funding would allow more countries to participate and any extra funding which could be made available would be very welcome.
35. SCAF approved use of the Enforcement Fund to support this workshop.

## **Review of 2019 Budget, 2020 Draft Budget and 2021 Forecast Budget**

### Review of 2019 Budget

36. SCAF was advised that, due to the receipt of a further payment of A\$905 003 relating to the second CDO class action, the General Fund will now show a surplus of approximately A\$704 618 as at 31 December 2019 (CCAMLR-38/04, Appendix I).
37. SCAF noted that the increase in focus in the Secretariat on staff training has resulted in a concomitant commitment to the training budget.
38. SCAF was advised that notification fees were less than originally budgeted.
39. SCAF was advised that the Working Capital Fund (WCF) was established in 2019, as approved by the Commission (CCAMLR-XXXVII, paragraph 4.5), with a transfer of A\$1 321 851 from the General Fund and has had no transactions recorded against it.
40. SCAF noted the voluntary contributions to the marine protected area (MPA) Special Fund by the USA of A\$21 915 and by the United Kingdom (UK) of A\$18 325.
41. SCAF advised that the contribution fee received from the new Member, the Kingdom of the Netherlands (Netherlands), in 2019 should be applied as recommended in Financial Regulations 6.1(d) and 6.1(e). This would result in a credit of A\$2 595 carried forward to 2020 to each of the 25 pre-existing Members.
42. SCAF noted the advice from Korea that its voluntary contribution for five years will be allocated as follows: 10% to the GCBF and the remaining 90% to the Korea Contribution Fund.
43. SCAF approved the revised 2019 budget and recommended its adoption by the Commission.

## Draft Budget for 2020

44. The draft budget for 2020 (Appendix III) is based upon the continued application of the Commission's policy of zero real growth for the calculation of the equal share of Members' contributions (CCAMLR-XXXV, Annex 7, paragraph 30).
45. SCAF noted that the contributions for 2020 in the draft budget are calculated based on the application of Financial Regulations 6.1(d) and 6.1(e), taking into account that there are now 26 Members of the Commission.
46. The Scientific Committee requested funding of A\$400 000 from the General Fund to be transferred to the General Science Capacity Fund (GSCF) which would offer some sustainability for science capacity building projects such as the CCAMLR Scientific Scholarship Scheme, the funding for working group conveners and Special Activities (SC-CAMLR-38/08).
47. After discussion, SCAF approved A\$200 000 to be transferred to the GSCF in 2020.
48. SCAF advised that it was fully supportive of finding a long-term sustainable funding model for the GSCF. SCAF agreed an e-group will be established during the intersessional period to further develop the terms of reference presented in SC-CAMLR-38/08 to ensure robust processes and procedures are in place that ensure the funding is used in line with the priorities of the Scientific Committee and CCAMLR's Financial Regulations, with adequate reporting to SCAF and the Commission on how the Funds are used.
49. SCIC presented two proposals for funding totalling A\$70 000 from the CDS Fund. The first is a proof of concept for the development of an online e-CDS training package. The funding required for this proposal is A\$20 000. The second is A\$50 000 for non-Contracting Party (NCP) engagement workshops to be conducted during 2020. Both proposals were approved by SCAF.
50. SCAF recommended that the Commission transfer A\$200 000 from the General Fund to the GCBF.
51. SCAF approved the funding required for the website redevelopment proposal of approximately A\$450 000 to be financed by the General Fund and amortised across 10 years.
52. SCAF recommended that the e-group established by the Secretariat to discuss the CCAMLR brochure should be extended to discuss the website project.
53. SCAF agreed that all e-groups discussed above would be led by the Secretariat.
54. Korea reported that the Korea Contribution Fund will fund A\$75 000 for the Data Warehouse Project and A\$50 000 for the website redevelopment.
55. China reported that expenditure from the China Contribution Fund would consist of A\$50 000 in 2020 to fund one internship at the Secretariat, training for India alongside the working group meetings in 2020, additional e-CDS training for China, a proof of concept project investigating the opportunities to translate CDS training material into Chinese, Japanese and Korean, and remote access to the krill observer workshop to be held in Shanghai, China, in 2020.

56. SCAF approved A\$14 882 to be expended from the Enforcement Fund to provide assistance to countries who require support to attend the INTERPOL workshop in Namibia (paragraph 35). Following this expenditure, the Enforcement Fund would be retired.

57. The European Union (EU) welcomed this contribution which will complement its own voluntary contribution of €100 000 to CCAMLR to support its cooperation with INTERPOL in the fight against IUU fishing for the period 2020–2021.

58. SCAF approved the draft 2020 budget and recommended its adoption by the Commission.

59. Germany and Belgium, whilst accepting the Commission's policy of zero real growth, noted that their countries had a national policy for zero nominal growth budgets.

#### Forecast Budget for 2021

60. SCAF noted the revised forecast budget for 2021 as presented in Appendix III. The 2021 budget is indicative only.

#### **Other business**

##### Future meeting arrangements

61. Members considered future meeting arrangements in terms of the continued growth of attendance. The Secretariat also raised the safety issues associated with this.

62. The Secretariat was asked to provide a paper for next year's meeting setting out available options. Other organisations with similar issues could also be approached for advice and information, and the Secretariat should additionally communicate with Members to seek their views.

63. SCAF noted that the financial implications of any new arrangements should also be considered.

##### 40th Anniversary celebrations in 2021

64. SCAF endorsed preliminary funding of A\$20 000 from the General Fund for the initial planning in the 2020 period of any celebrations that the Commission may wish to organise.

65. Further funding would be required during 2021 at a level to be decided at the 2020 SCAF meeting. The Secretariat will consult with Members to provide proposals for these celebrations.

### **Close of the meeting**

66. In closing the meeting, the Chair informed SCAF that he would not be seeking re-election.

67. SCAF thanked Mr Timokhin for his excellent chairing and guidance of its work over the last two years, noting the significant progress that had been made on many issues.

68. The Chair closed the meeting.

### **CCAMLR Notification Fees Procedure**

1. The Secretariat shall include an annual consumer price index (CPI) adjustment to notification fees in its annual budget papers, presented to the Commission in October each year.
2. The Secretariat shall inform Members, by COMM CIRC in mid-April each year, of the relevant fees, deadlines and relevant procedures for all notification types.
3. The Secretariat shall invoice Members as appropriate after the notification deadline and prior to the fee deadline each year.
4. The Secretariat shall report annually to the Commission on the notifications made within these deadlines.
5. If a notification under Conservation Measure (CM) 24-01, or in any other fishery, does not proceed because of a decision of the Commission, the notifying Member(s) shall receive a refund of the whole fee. In all other circumstances, a fee will not be refunded.

Type of fishery	Notification unit	Notification requirements	Notification deadline	Applicable fee	Fee deadline
Exploratory fishery for toothfish or other non-krill species where there is an existing specific conservation measure	One notification per vessel per fishing season per conservation measure	CM 21-02	1 June	Non-krill fee	1 July
New or exploratory fisheries for non-krill species that are not subject to an existing conservation measure	One notification per vessel per subarea/division	CM 21-01, CM 21-02	1 June	Non-krill fee	1 July
Established krill fisheries	One notification per vessel per fishing season per krill fishery conservation measure	CM 21-03. For notifications under CM 51-01 (Area 48) the notification shall also specify the subareas that will be fished	1 June	Krill fee	1 July
New or exploratory fisheries for krill that are not subject to an existing conservation measure	One notification per vessel per subarea/division	CM 21-01, CM 21-02	1 June	Krill fee	1 July
Fisheries under CM 24-01, paragraph 3: proposals for a single vessel	One notification per research plan, as listed as a row in CM 24-05, Table 1	CM 24-01	1 June	50% of the non-krill fee	1 July
Fisheries under CM 24-01, paragraph 3: proposals involving more than one vessel	One notification per research plan, as listed as a row in CM 24-05, Table 1	CM 24-01	1 June	Non-krill fee The fee will be divided between Members participating in the research plan, as decided by them	1 July

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

(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.

- (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) 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 report, 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. Proposals shall be submitted to the annual meeting of the Commission as working papers.

- (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 CCAMLR
  - (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 CCAMLR.
- (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. In order 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 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. Applications that are eligible for funding from another CCAMLR Fund will be ineligible for funding from the General Capacity Building Fund (GCBF).

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.

### **Procedure for travel assistance to a meeting/workshop**

16. The Commission shall, each year, define an amount of money from the GCBF 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.

17. In assessing applications for travel assistance to a meeting, the Panel shall consider 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.

18. 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.

19. 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.

20. 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 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.

## **Reporting**

21. 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.
22. 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.
23. 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.
24. 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.
25. 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.
26. Recommendations on ongoing projects will be made as a working paper by the Panel to the Commission.
27. Recommendations for new applicant projects shall be made in a separate paper by the Panel.
28. The Panel shall also provide a report on all the applications for travel assistance that it has approved and granted through the year.
29. The Panel shall report to the Commission annually on the operation of the GCBF procedures.
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"> <li>Research plan quality</li> <li>Data reporting quality</li> <li>Observer skills</li> <li>Scientific skills</li> <li>Marine protected area (MPA) science</li> </ul>
	Compliance and management (conservation measures)	<ul style="list-style-type: none"> <li>Catch Documentation Scheme for <i>Dissostichus</i> spp. (CDS) implementation</li> <li>Inspections/reporting</li> <li>Understanding Member and vessel obligations</li> <li>Combatting illegal, unreported and unregulated (IUU) fishing</li> </ul>
	Cooperation, engagement and administration	<ul style="list-style-type: none"> <li>Attendance at meetings and workshops</li> <li>Early career researchers and gender diversity</li> <li>Acceding States/non-Contracting Parties (NCPs)/regional fisheries management organisations (RFMOs) and others as identified from time to time by the Commission</li> </ul>

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

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 State<sup>1</sup> or Party cooperating with the Catch Documentation Scheme for *Dissostichus* spp. (CDS)
- (ii) Activity proposed (this report, Appendix II, paragraph 2.iii)
- (iii) Needs addressed (this report, Attachment 1)
- (iv) Budget requested
- (v) Project start date
- (vi) Anticipated outcome.

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
  - (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.
- (ii) Method and approach
  - (a) description of major activities and tasks – describe the tasks that must be performed to accomplish the objective(s). For applications for supported meeting attendance (this report, Appendix II, paragraph 2(v)d), list the meetings
  - (b) follow-up action – identify follow-up action after completion of the project.
- (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).

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<sup>1</sup> 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) roles/assignments and participation time – the team composition and estimate of the duration of the project.
- (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) an 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 automatically required for any funding over 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.

**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) Does the project address a **need** that is identified in the guidelines, this report, Appendix II, Attachment 1?
  - (iii) Does the proposal make it clear that the Member has this specific need?
  - (iv) 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?
  - (v) 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.
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 capacity building fund (guidelines, this report, Appendix II, 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 CCAMLRL members emphasising the value of cooperation?
  - (iii) Does the application seek to apply one of the identified projects/activities (guidelines, this report, Appendix II, paragraph 2)? 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, this report, Appendix II, 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 an appropriate range of stakeholders?

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

Member <sup>2</sup> :			
Project title:			
Evaluation criteria	Weight	Score (between 1 for no and 10 for yes, 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 GCBF.			
Does the project address a need that is identified in guidelines, this report, Appendix II, 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 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 the wider objectives of the capacity building fund (guidelines, this report, Appendix II, 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, this report, Appendix II, paragraph 2)? 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, this report, Appendix II, 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			

<sup>2</sup> Includes Accessing States or non-Contracting Parties (NCPs) cooperating with the Catch Documentation Scheme for *Dissostichus* spp. (CDS), where an application has the support of a Member.

**Application form for travel support to attend a meeting/workshop**

## 1. Applicant basic details:

Full name: \_\_\_\_\_

Position: \_\_\_\_\_

Organisation: \_\_\_\_\_

Email: \_\_\_\_\_

Delegation<sup>3</sup>: \_\_\_\_\_

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

 Travel

Details \_\_\_\_\_ Amounts A\$ \_\_\_\_\_

 Per diems

Details \_\_\_\_\_ Amounts A\$ \_\_\_\_\_

 Other items

Details \_\_\_\_\_ Amounts A\$ \_\_\_\_\_

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

 Yes No

## 4. Will the applicant play a significant role during the meeting?

 Yes (please elaborate)

\_\_\_\_\_

 No

## 5. Amount requested: A\$ \_\_\_\_\_

\_\_\_\_\_

<sup>3</sup> An Acceding State or non-Contracting Party (NCP) cooperating with the Catch Documentation Scheme for *Dissostichus* spp. (CDS) may apply to the Fund where an application has the support of a Member.

**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 applicant from a Member<sup>4</sup> with a clear **need** for assistance to deliver the Objectives of the Fund (guidelines, this report, Appendix II, paragraph 1)?
3. The annual total claims to the travel portion are limited to 20% of the balance of the General Capacity Building Fund (GCBF) provided that this is limited to a maximum A\$40 000 per year.
4. 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?
5. Will the applicant play a significant role during the meeting such as Chair/Vice-Chair, Head of Delegation (HoD) the meeting?
6. Does the applicant represent a Member who does not have any outstanding financial contribution to the Commission?
7. Has the applicant previously participated in CCAMLR meetings/workshops?
8. Will the applicant receive other financial support for attending the meetings/workshops?

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<sup>4</sup> Includes Acceding State or non-Contracting Party (NCP) cooperating with the Catch Documentation Scheme for *Dissostichus* spp. (CDS), 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:			
Evaluation criteria	Weight	Name	Name
		Applicant 1: _____	Applicant n: _____
		Delegation: _____	Delegation: _____
		Score (between 1 for no and 10 for yes, 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 GCBF.	3		
Is the applicant from a Member with a clear <b>need</b> for assistance to deliver the objectives?	2		
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?	2		
Will the applicant play a significant role during the meeting such as Chair/Vice-Chair, HoD during the meeting?	1		
Has the applicant previously participated in CCAMLR meetings/workshops?	1		
Will the applicant receive other financial support for attending the meeting/workshop?	1		
Score			

## **Terms of reference for the Capacity Building Fund 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) The Commission will select the members of the Panel.
- (iii) Members may nominate individuals with particular expertise that covers different disciplines. The different disciplines are defined in term of reference 3(i).
- (iv) 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 convene virtually in September and will 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.

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 of the Panel shall require four Panel members to be present. 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.
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.

**Deed of Funding**

(Approved travel will be documented using CCAMLR's standard travel permission document)

**CCAMLR General Capacity Building Fund (hereafter called 'the Fund')**

Researcher/organisation name: \_\_\_\_\_

Primary point of contact: \_\_\_\_\_

Other collaborators: \_\_\_\_\_

Grant purpose: \_\_\_\_\_

Grant amount A\$: \_\_\_\_\_

Grant timeline: \_\_\_\_\_

The above project was approved by the General Capacity Building Fund Panel and the Standing Committee on Administration and Finance (SCAF) and this decision was endorsed by the subsequent meeting of the Commission <<CCAMLR-XX, paragraphs xx to xx>>.

The conditions of this agreement are set forth below:

1. The purpose of the project
  - 1.1 The objectives and purpose of the project are detailed in the attached Project Proposal (Attachment A).
2. Funding and grant duration
  - 2.1 CCAMLR will provide A\$\_\_\_\_\_ to <<name of organisation>> to carry out the activities as described in the approved Project Proposal (Attachment A). Funds granted are to be expended as shown in the project budget (contained within Attachment A).
  - 2.2 The project's timeline is \_\_\_\_\_ to \_\_\_\_\_ (see Attachment B for detailed timeline).
3. Payment of Funds
  - 3.1 Funds will be paid in the following manner: \_\_\_% at the commencement of the Project and after the signing of this agreement; a subsequent payment at the completion of \_\_\_\_\_ (#) milestone, and the last payment after the final report has been submitted and accepted by the Commission. Such acceptance shall not be unreasonably withheld.
  - 3.2 The financial and reporting requirements for the project are outlined in paragraphs 5, 6 and 7.

4. Use of Funds
  - 4.1 The funds provided for this project must be used only for the purpose agreed in the project proposal and budget.
5. Financial record keeping
  - 5.1 All financial reports and statements are to be prepared in accordance with generally accepted accounting principles.
  - 5.2 A copy of all receipts, invoices and financial records substantiating grant expenditures must be submitted with the financial report.
  - 5.3 All expenditure statements must be verified by relevant invoices and signed by appropriately senior officials within the funded organisation.
6. Financial reporting requirements
  - 6.1 The financial report will include project budget line items and reporting of expenditures against budget items. The financial report is to be certified as true and correct by the Head of Finance (or similar) for the <<name of organisation being funded>>.
  - 6.2 The financial report will be submitted within 60 days of the submission of the final report at the completion of the project.
7. Project reporting requirements
  - 7.1 Annual progressive implementation reports, and a final report, will be submitted to the Commission. These will be submitted to the Secretariat in time for a summary report to be distributed as a working paper.
  - 7.2 The final 20% of the project funds will not be released until the Commission has been informed of project outcomes and the financial report has been submitted and accepted by CCAMLR. Such acceptance shall not be unreasonably withheld.
8. Requirements and variations
  - 8.1 <<name of organisation and contact>> agrees to expend the funds in accordance with the approved budget and project proposal. Any modifications to the agreed budget or to the agreed project proposal must have written authorisation from the Panel. In some circumstances such changes may need to be referred to the Commission.
  - 8.2 Any funds disbursed but not expended will be returned to CCAMLR at the time the financial report is submitted to CCAMLR.

## 9. Termination

- 9.1 CCAMLR may terminate this Agreement by giving the <<name of organisation>> 10 days' notice in writing if it is determined that the Terms and Conditions of this agreement are not being followed. <<name of organisation>> may terminate this agreement by giving CCAMLR 10 days' notice in writing.
- 9.2 In the event of such termination, the <<name of organisation>> shall be entitled to funding for the part of the work performed in accordance with this agreement up to the date of termination.
- 9.3 In the event of termination, CCAMLR reserves the right to take such action as may be necessary to recover any unauthorised expenditures. Such recovery shall only take place under this agreement and not extend to recovery from any other agreement in place between CCAMLR and <<name of organisation>>. Funds recovered shall in no event exceed the funding actually granted to <<name of organisation>> under this agreement.

## 10. Intellectual property

- 10.1 Any arising intellectual property rights shall reside with the collaborator generating the same. Each collaborator shall grant to the other collaborators and to CCAMLR an irrevocable, royalty-free right to use its arising intellectual property for academic research purposes, including in research projects that are sponsored by third parties provided that the use of the intellectual property in those projects does not involve the disclosure of any confidential information to the third Parties. For the avoidance of doubt, background intellectual property shall continue to be owned by the party introducing the same.
- 10.2 <<name of organisation>> and the other collaborators reserve the right to publish results in accordance with normal practice. Publication shall only include CCAMLR data with the prior agreement of CCAMLR under the [Rules for Access and Use of CCAMLR Data](#).

## 11. Confidentiality

- 11.1 The confidentiality arrangements detailed in this section 11 shall apply and shall also be adhered to in respect of the [Rules for Access and Use of CCAMLR Data](#). For the purpose of section 11, 'Confidential information' shall mean any information that is by its nature confidential and a party knows or ought to know is confidential or is agreed between the Parties as constituting confidential information for the purposes of this Agreement.
- 11.2 Both Parties will use all reasonable endeavours not to disclose to any third Party any confidential information nor use for any purpose except as expressly permitted by this agreement, any of the other Party's confidential information.
- 11.3 The provisions of clause 11.2 shall not apply for disclosure or use of confidential information, if and in so far as:

- 11.3.1 the confidential information became publicly available by means other than a breach of the recipient's confidentiality obligations
- 11.3.2 the disclosing Party has informed the recipient that the confidential information is no longer confidential
- 11.3.3 the confidential information is communicated to the recipient without any obligation of confidence by a third Party who is in lawful possession thereof and under no obligation of confidence to the disclosing party
- 11.3.4 the confidential information, at any time, was developed by the recipient completely independently of any such disclosure by the disclosing party
- 11.3.5 the confidential information was already known to the recipient prior to disclosure as proven by the recipient's pre-existing documentation.

12. Liability

12.1 The liability of the <<name of organisation>> howsoever arising in respect of, or attributable to, any breach, non-observance or non-performance of the agreement or any error or omission shall be limited to the funding granted to the <<name of organisation>> under this agreement, except in the case of death or personal injury, attributable to the negligence of the <<name of organisation>> or its employees.

13. Attachments

13.1 All attachments to the grant agreement are incorporated into the agreement.

- Attachment A – Project Proposal including Project Budget
- Attachment B – Project Timeline.

Signed this \_\_\_\_\_ day of \_\_\_\_\_

Signed for CCAMLR: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Signature of Witness: \_\_\_\_\_ Name: \_\_\_\_\_

Signed for the <<name of organisation>>: \_\_\_\_\_

Name: \_\_\_\_\_

Position: \_\_\_\_\_

Witness: \_\_\_\_\_ Name: \_\_\_\_\_

**Budget paper revised 2019, draft 2020 and forward estimates  
for years 2021 and 2022**

	2016	2017	2018	2019		2020	2021	2022	Notes
	Final audit figures	Final audit figures	Final audit figures	Original budget	Revised budget	Budget	Forecast	Forecast	
<b>General Fund</b>									
<b>Income</b>									
Core Members' Contribution	3 272 000	3 272 000	3 349 500	3 433 238	3 433 238	3 518 331	3 598 764	3 684 479	Netherlands Membership subsumed within total Contribution Budget. The credit from the contribution from the Netherlands in 2019 is provided as a credit in 2020 of A\$2 595. Member contributions are calculated on the basis of a 2.5% increase each year taking into account the Commission's zero real growth policy.
Members' Special Contributions Interest	168 384	157 447	166 135	180 000	180 000	180 000	180 000	180 000	Interest rates remain low and predicted to remain so during <b>2019, 2020 and 2021</b> . Interest is dependent on actual rates, timing of receipts of Members' contributions, number of fisheries notifications received. There is considerable uncertainty associated with each of these items.
Staff Assessment Levy (SAL)	501 252	517 836	489 639	500 000	500 000	470 000	470 000	470 000	The SAL represents income deducted from staff salaries in respect of tax. The actual SAL will not be known until the completion of the tax year and the staff members' tax returns have been assessed by the Australian Taxation Office. Due to changes in deductibility of staff's own superannuation contributions, the forward estimates through to 2020 remain cautious.
Fund transfers – Forfeited Fishery Deposits	95 000	220 000	240 730	155 000	170 000	150 000			In line with the Strategic Plan 2019–2022, it is anticipated that the deposit system will cease with a corresponding increase in fisheries notification fees. This is reflected from 2020 on.

	2016	2017	2018	2019		2020	2021	2022	Notes
	Final audit figures	Final audit figures	Final audit figures	Original budget	Revised budget	Budget	Forecast	Forecast	
<b>General Fund (continued)</b>									
Fund transfers – other	-31 264								
Sales (Tagging)	32 910	48 175	21 239	30 000	30 000	35 000	35 000	35 000	
Miscellaneous income – Fisheries Notifications	408 600	385 800	414 000	479 000	427 800	732 872	751 205	769 979	It is recommended that the Fisheries Notifications Fund be retired and income generated from these fees be recorded directly in the General Fund. This is budgeted from 2020 through the forward estimates.
Miscellaneous income – Rent Contributions	383 490	390 561	399 087	403 500	403 500	415 375	425 800	436 400	Contributions from the Australian and Tasmanian governments are matched against the rent expenditure and are budgeted to increase 2.5% each year through to 2021.
Miscellaneous income – Grants									
Miscellaneous income – Other	9 502	69 105	54 419	11 500	919 211	40 000	50 000	50 000	The 2019 Misc income includes a deposit of A\$915 003 as final settlement of the CDO claim against the Ratings Agencies.
<b>Total income</b>	<b>4 839 874</b>	<b>5 060 924</b>	<b>5 134 749</b>	<b>5 192 238</b>	<b>6 063 749</b>	<b>5 541 578</b>	<b>5 510 769</b>	<b>5 625 858</b>	
<b>Expenditure</b>									
Salaries	3 273 717	3 456 291	3 292 728	3 646 902	3 698 631	3 891 304	4 003 872	4 112 729	The final Salaries and Allowances expenditure will depend on the amount of overtime payable, particularly during annual meeting time, and payments required to the Staff Termination Fund. <b>2019:</b> Anticipating a small increase to budget expenditure due to increased IT contracts. <b>2020 and 2021:</b> Are budgeted based on the Strategic Plan 2019–2022 and include incremental and CPI increases.
Equipment (including depreciation)	148 156	150 096	178 066	215 200	215 200	219 504	223 894	228 372	
Insurance and Maintenance	203 293	229 777	222 072	246 000	246 000	250 920	252 000	252 100	The provisions across the forward estimates takes account of anticipated CPI increases.
Training	14 685	13 070	20 580	30 000	50 000	60 000	60 000	60 000	The training budget is projected to increase in line with the recommendation of the Strategic Plan 2019–2022 as an important tool to ensure staff remain up to date with the increasing complexity of Secretariat activities.

	2016	2017	2018	2019		2020	2021	2022	Notes
	Final audit figures	Final audit figures	Final audit figures	Original budget	Revised budget	Budget	Forecast	Forecast	
<b>General Fund (continued)</b>									
Meeting Facilities	312 627	301 648	372 919	365 000	365 000	370 000	375 000	378 000	This budget item is forecast to have small increases annually. Final amounts of overtime associated with interpretation during the annual meeting will impact the final totals.
Travel	146 468	153 230	153 838	185 000	185 000	190 000	190 000	190 000	Travel is projected to cover the attendance by staff at the various intersessional meetings, the Executive Secretary undertaking Member outreach and other necessary staff travel approved by the Executive Secretary.
Printing	11 052	12 266	14 889	18 000	18 000	18 000	18 000	18 000	
Communications	38 346	31 446	29 749	47 000	47 000	47 000	49 000	51 000	
Sundry (incl. audit)	60 670	91 940	206 808	90 000	90 000	95 000	95 000	95 000	
Rent/COGS Expenditure	413 932	435 900	419 169	444 300	444 300	450 375	460 800	471 400	Rent expenditure is predicted to increase by 2.5% annually.
Website redevelopment						25 000	40 000	50 000	Amortising expenditure for the website redevelopment over 10 years.
40th anniversary Transfer to WCF					-1 206 851	20 000 -87 425	-32 616	-34 759	In 2019 the WCF is established with a transfer from the General Fund. In subsequent years, the transfers ensure that the WCF remains at a balance equivalent to 3 months' budgeted expenditure.
Transfer to General Capacity Building Fund (GCBF)						-200 000			Transfer from the General Fund to the GCBF upon its establishment.
Transfer from Fisheries Notifications Fund					363 920				The closure of the Fisheries Notifications Fund and subsequent transfer of the balance to the General Fund.
Transfer to General Science Capacity Fund						-200 000			
<b>Total expenditure</b>	<b>4 622 946</b>	<b>4 875 664</b>	<b>4 910 818</b>	<b>5 287 402</b>	<b>5 359 131</b>	<b>5 637 103</b>	<b>5 767 566</b>	<b>5 906 601</b>	
<b>Surplus/(Deficit)</b>	<b>216 928</b>	<b>185 260</b>	<b>223 931</b>	<b>-95 164</b>	<b>704 618</b>	<b>-95 524</b>	<b>-256 797</b>	<b>-280 743</b>	
General Fund balance at 01 Jan	1 774 281	1 991 209	2 176 469	2 400 400	2 400 400	2 262 087	1 679 138	1 389 725	
General Fund balance at 31 Dec	1 991 209	2 176 469	2 400 400	2 305 236	2 262 087	1 679 138	1 389 725	1 074 223	As forecast in the Strategic Plan 2019–2022, the General Fund balance slowly declines towards the approved year-end balance of approximately A\$100 000.
Outstanding contributions at 31 Dec	411 698	504 283	126 628						

	2016	2017	2018	2019	2020	2021	2022	Notes
	Final audit figures	Final audit figures	Final audit figures	Revised budget	Budget	Budget	Budget	
<b>Equity Funds</b>								
<b>Asset Replacement Reserve</b>								
								<b>As the main item of income for the funds is interest, the only note added will be in relation to other income sources</b>
Income	17 251	49 807	37 150	25 000	35 000	25 000	25 000	25 000
Expenditure	-4 444	-4 444	-4 444	-4 444	-204 444	-4 444		-40 000
Balance at 31 Dec	318 903	364 266	396 972	384 822	227 528	248 084	-273 084	258 084
								Part of the budgeted income from hiring Secretariat meeting facilities are paid into this reserve.
								A\$4 444 is amortisation of the enlarging of the SCIC meeting room. It continues for the lease period of the premises. The additional transfers, A\$200 000 and A\$35 934 are to the Staff Replacement Fund to cover the cost of the relocation expenses of newly appointed international officers.
<b>Working Capital Fund (WCF)</b>								
Income				1 321 851	87 425	32 616	34 759	
Expenditure								
Balance at 31 Dec				1 321 851	1 409 276	1 441 892	1 476 651	
								The WCF is established in 2019 with a transfer from the General Fund and is maintained at 3 months of budgeted expenditure through further transfers from the General Fund.
<b>Staff Replacement Fund</b>								
Income					200 000			40 000
Expenditure			-54 849	-51 000	-90 000	-60 000	-60 000	-20 000
Balance at 31 Dec	135 846	135 846	80 997	29 997	190 997	130 997	70 997	90 997
								See Asset Replacement Reserve notes above.
								Budgeted expenditure for relocation of newly appointed international officers.
<b>Korea Contribution Fund</b>								
Income					309 500	278 550	278 550	278 550
Expenditure	-61 302	-65 554	-32 701	-100 000	-210 950	-125 000	125 000	-150 000
Balance at 31 Dec	402 340	336 786	304 085	204 085	402 635	556 185	959 735	1 088 285
								Amended to 90% of the voluntary contribution from Korea of A\$309 500 per year for five years.
								Amended to KCF contributing \$50K per year for 2020 and 2021 to the website redevelopment.
<b>China Contribution Fund</b>								
Income					338 699			
Expenditure					-30 000	-50 000	-50 000	-50 000
Balance at 31 Dec					308 699	258 699	208 699	158 699
								In 2019, this will cover one internship, training for India alongside the mid-year meetings, additional e-CDS training for China, a proof of concept project investigating the opportunities to translate CDS training material to Chinese, Korean and Japanese, and remote access to the krill observer workshop.
<b>Fisheries Notifications Fund (information only – included above)</b>								
Income	408 600	385 800	385 800	414 000				
Expenditure	-408 600	-385 800	-385 800	-414 000	-363 920			
Balance at 31 Dec	363 920	363 920	363 920	363 920	Nil			
								The Fisheries Notifications Fund will be retired in 2019 and the balance of the Fund transferred to the General Fund.

	2016	2017	2018	2019		2020	2021	2022	Notes
	Final audit figures	Final audit figures	Final audit figures	Original budget	Revised budget	Budget	Forecast	Forecast	
<b>Special Funds</b>									
<b>General Capacity Building Fund (GCBF)</b>									
Income					88 304	232 275	34 259	32 253	Contribution from KCF amended to 10% of A\$309 500 voluntary contribution made for five years. A\$200 000 transfer from the General Fund.
Expenditure						-100 000	-150 000	-150 000	
Balance at 31 Dec					88 304	220 579	104 837	-12 640	
<b>Contingency Fund</b>									
Income	205 000	165 000	5 000	5 000					The Contingency Fund will be retired in 2019.
Expenditure	-95 000	-220 000			-265 000				
Balance at 31 Dec	315 000	260 000	265 000	265 000	Nil				
<b>Observer Fund</b>									
Income	3 179	2 722	2 942	2 750	2 139	2 130	2 162	2 195	
Expenditure									
Balance at 31 Dec	134 207	136 929	139 871	142 621	142 010	144 140	146 303	148 497	
<b>VMS Fund</b>									
Income	399	342	370	345	269				To be expended on VMS maintenance.
Expenditure						-17 843			
Balance at 31 Dec	16 862	17 204	17 574	17 919	17 843				
<b>CDS Fund</b>									
Income	42 370	34 131	36 167	32 560	22 517	22 366	21 652	20 476	Projected expenditure to be approved by SCIC.
Expenditure	-95 128	-91 632	-96 620	-158 500	-158 500	-70 000	-100 000	-100 000	
Balance at 31 Dec	1 745 005	1 687 504	1 627 051	1 501 111	1 491 068	1 443 434	1 365 085	1 285 561	
<b>Compliance Fund</b>									
Income	742	635	686	642	499	497	504	512	
Expenditure									
Balance at 31 Dec	31 306	31 941	32 627	33 269	33 126	33 623	34 127	34 639	
<b>MPA Fund</b>									
Income	1 625	32 950	2 182	1 380	41 816	1 733	1 756	1 785	Voluntary contributions received: A\$21 915 from the USA and A\$18 325 from the UK.
Expenditure					-30 000				
Balance at 31 Dec	68 586	101 536	103 718	105 098	115 534	117 267	119 026	120 812	
<b>Enforcement Fund</b>									
Income	338	289	313	300					Approved expenditure to provide travel assistance to countries who require support to attend the INTERPOL Workshop in Namibia.
Expenditure						-14 882			
Balance at 31 Dec	14 280	14 569	14 882	15 182	14 882				
<b>General Science Capacity Fund (GSCF)</b>									
Income	5 439	4 263	112 123	75 298	34 500	202 245	2 579	1 418	A\$200 000 approved by SCAF to be transferred to the GSCF in 2020. Estimated expenditure in 2020 from the Fund for scholarships, conveners and workshops.
Expenditure	-10 724	-37 202	-50 000	-50 000	-137 354	-180 000	-80 000	-80 000	
Balance at 31 Dec	223 363	190 424	252 547	277 845	149 693	171 938	94 517	53 933	
<b>CEMP Fund</b>									
Income	24 662	14 853	15 567	10 529	10 529	10 606	10 316	10 470	Expenditure on approved CEMP projects.
Expenditure	-468 525	-42 209	-9 111	-180 000	-40 000	-30 000			
Balance at 31 Dec	757 468	730 112	736 568	567 097	707 097	717 703	698 019	704 489	

**Members' Contributions 2019, 2020, 2021**  
 General Fund Contributions – Payable by 31 May  
 (all amounts in Australian dollars)

Member	Contributions 2019	Balance Outstanding 25 October 2019	Draft Contributions 2020	Forecast Contributions 2021
Argentina	129 794		125 326	131 120
Australia	145 470		139 548	144 264
Belgium	129 794		125 326	131 120
Brazil	129 794	256 422	125 326	131 120
Chile	134 387	134 387	129 206	136 126
China	152 818		148 098	150 018
European Union	129 794		125 326	131 120
France	157 940		152 542	154 230
Germany	129 794		125 326	131 120
India	129 794		125 326	131 120
Italy	129 794		125 326	131 120
Japan	130 819		126 561	132 617
Korea, Republic of	148 734		143 967	151 700
Namibia	129 794	129 794	125 326	131 120
Netherlands	64 897		127 922	131 120
New Zealand	134 917		130 665	136 025
Norway	201 269		203 213	211 783
Poland	129 794		125 326	131 120
Russia	132 723		127 866	133 209
South Africa	131 283		126 922	132 919
Spain	131 415		127 057	132 709
Sweden	129 794	129 983	125 326	131 120
Ukraine	135 138		131 866	139 089
UK	137 673		132 447	137 840
USA	129 794		125 326	131 120
Uruguay	130 918	110 918	126 968	132 798
Netherlands – B/Fwd 2019	-		64 897	-
<b>Total</b>	<b>3 498 135</b>	<b>761 504</b>	<b>3 518 331</b>	<b>3 598 765</b>