

 <p>Agreement on the Conservation of Albatrosses and Petrels</p>	<p style="text-align: center;">Seventh Meeting of the Advisory Committee <i>La Rochelle, France, 6 - 10 May 2013</i></p> <p style="text-align: center;">Allocation of Funds to the Advisory Committee Work programme</p> <p style="text-align: center;">Grants Sub-Committee, Secretariat</p>
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SUMMARY

During MoP3 in 2009 Parties adopted a procedure for allocating funding to the AC Work Programme. The procedure was successfully applied and refined along the years. The present document outlines the process followed for the allocation of grant funds in 2012, highlighting difficulties, lessons learnt and adjustments that the Advisory Committee may wish to consider adopting to further improve the procedure. It also links the process for the allocation of funds with the process for the selection of secondments. In the 2012 call for applications, five projects have been supported for a total of AUD 97,600.

RECOMMENDATIONS

The Advisory Committee is requested to:

1. Endorse the strategy of calling for applications twice every three years as detailed in Figure 1 and in conjunction with the call for applications for secondments.
2. Advise on conflict of interest issues regarding the exclusion policy for applicants that are WG or Grants Sub-Committee Members, and distribution of proposals to AC or WG Members that are involved in proposals submitted.
3. Advise on whether projects proposing lethal experimentation should, or shouldn't be, considered in principle by the Agreement.
4. Advise on issues regarding delays with the implementation of projects funded.
5. Comment on the level of detail requested of applicants to improve the evaluation of proposals in the next call for applications.

1. BACKGROUND

During MoP3 in 2009 Parties adopted a procedure for allocating funding to the AC Work Programme ([MoP3 Doc 13 Rev 3](#), [MoP3 Final Report](#)). This method drew on experience gained in the first call for applications in 2008 and the selection of projects conducted during AC4 ([AC4 Doc 24](#), [AC4 Doc 53](#)). The procedure was successfully applied in the call for applications in 2009 and subsequently further refined to separate “core” and grant activities during the 2010 and 2012 application processes (see [AC5 Doc 30](#), [AC5 Inf 6](#), [AC6 Doc 23](#)). The present document outlines the processes followed for the allocation of grant funds in 2012, highlighting difficulties, lessons learnt and adjustments that the Advisory Committee may wish to consider adopting to further improve the procedure. It also links the process for the allocation of funds (i.e. conservation projects) with the process for the selection of secondments, following changes introduced by MoP4 in 2012 (see AC7 Doc 10).

2. DESCRIPTION OF THE PROCESS IN 2012

The schedule and steps followed for the call for, and assessment of, applications in 2012 is described in **Table 1** (years 2009 and 2010 have been included for reference). In general terms the procedure included the following steps: (1) call for applications and the receipt of proposals, (2) evaluation of applications by relevant Working Groups (see criteria in **Annex1**), (3) compilation of evaluations by the Grants Sub-Committee, (4) discussion and final advice decided by the Grants Sub-Committee on projects to be funded, (5) final endorsement from the Advisory Committee, and (6) transfer of funds by the Secretariat.

Table 1. Steps and timetable followed for the call for application and selection of proposals funded by the Advisory Committee.

Step in the fund allocation process	2009	2010	2012
Secretariat opens call for project proposals, which are distributed electronically to WGs and NCP. Copy posted on ACAP website.	10 Jun [week 1]	19 May [week 1]	12 Dec 11 [week 1]
Deadline for project applications.	03 Jul [week 3]	16 Jul [week 8]	06 Feb [week 8]
Secretariat sends project proposals to Grants Sub-Committee and afterwards to WGs for review following adopted criteria (Annex 1).	27 Jul [week 7]	26 Jul [week 9]	13 Feb [week 9]
Working Group Convenors send revised proposals to the Grants Sub-Committee for ranking of satisfactory proposals.	17 Aug [week 10]	15 Sep [week 17]	26 Mar [week 15]
Grants Sub-Committee send recommendations to the AC Members for final input prior to approval of funding.	21 Aug [week 10]	17 Sep [week 17]	9 Apr [week 17]
Inputs received from AC Members and final approval of funding by the Advisory Committee.	11 Sep [week 13]	27 Oct [week 23]	14 May [week 22]
AC Chair communicates final results to the AC and applicants. Secretariat contacts successful applicants to transfer funds.	15 Sep [week 13]	05 Nov [week 24]	18 May [week 22]
Some applicants contacted for clarification and/or modification of project design/objectives. Proposals evaluated and communicated to AC.	07 Nov [week 16]	N/A	15 Jun [week 26]

Twenty-eight projects have been supported since 2008 for a total of AUD 460,663: seven in 2008 for AUD 128,817, eight in 2009 for AUD 120,046, eight in 2010 for AUD 114,200 and **five in 2012 for AUD 97,600**. Details of project applications received, both funded and not funded, project leaders and the grants provided are shown in **Annex 2**. Detailed information on the projects supported and their outcomes can be found in [AC5 Doc 23](#), [AC5 Inf 01](#), [AC6 Inf 08](#), [AC6 Inf 09](#), and AC7 Inf 01).

3. LESSONS LEARNT AND PROCESS REFINEMENT SINCE MOP3

3.1. Call for applications.

The Advisory Committee may recall that, during the call for 2010 applications, it endorsed the addition of funds from the 2011 allocation in order to fully support a number of high quality projects that had been received (see [AC6 Doc 23](#)). In 2012 nine proposals were received, five of which received very favourable assessments, although the allocation from 2012 was not sufficient to fully fund them. Following the approach taken in the previous call for applications, the Advisory Committee endorsed the recommendation of the Grants Sub-Committee to combine funds from 2012 and part of 2013 in order to fully support these five proposals. This approach was presented to the Parties at MoP4 and the strategy of calling for applications twice every three years was approved (**Figure 1**). This schedule will also be used in the call for applications for secondments, as detailed in AC7 Doc 10.

This strategy allowed the use of funds from 2012, to be combined with part of the allocation from the 2013 financial year. The remaining funds from 2013 will be used in combination with funds from 2014, during the 2014 call, and so on. Such an approach will also allow the call for applications to be initiated after an AC Meeting; hence, meeting outcomes and priorities defined there can be used to guide the allocation of funds (see AC5 Final Report).

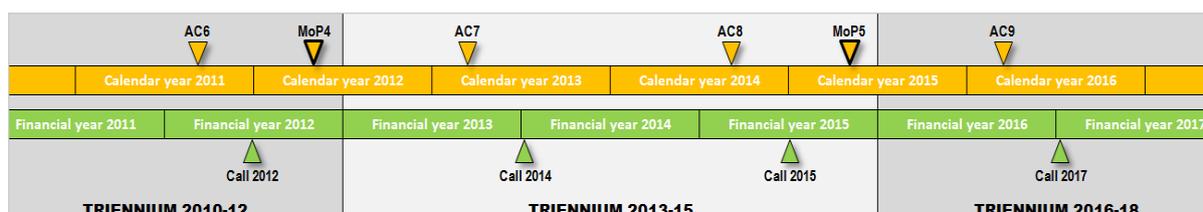


Figure 1. Proposed timeline for call for applications (both conservation and secondment projects, see AC7 Doc 10) in relation to the meetings plan currently in place.

3.2. Conflict of interest issues.

The rule currently adopted by the Grants Sub-Committee to avoid conflict of interests during the evaluation of proposals, is to exclude from the whole process members of the Sub-Committee and/or reviewers from the Working Groups, if they were either an applicant, co-investigator, or part of the group of researchers applying for funds.

During the last process in 2012, an AC Member noted that this policy results in a lack of transparency, and to address this all proposals should be available to all AC Members, even if they were currently applying for funds. This issue needs to be clarified by the Advisory Committee to avoid unnecessary workloads and delays in communicating results. In particular, the AC is asked for advice on: (1) the exclusion policy for applicants that are WG

or Grants Sub-Committee Members, and (2) whether proposals should be provided/accessible to AC or WG Members that may be involved in proposals submitted in the same call for applications.

3.3. Lethal experimentation.

During the last call for applications one of the projects involved the use of lethal experimentation. This raises an important policy issue on whether the Agreement should support projects that involve the use of lethal experimentation. This project might not be an isolated case. Due to the rarity of seabird bycatch events, the use of experiments with limited sample sizes, and the need to achieve significant results in a short time, it is likely that future seabird bycatch mitigation research, which may form part of proposals to the AC, will consider the use of lethal experiments. For example, researchers might propose a comparison between fishing operations using a given mitigation measure, against operations with no mitigation at all, which can be considered lethal experimentation. The Grants Sub-Committee seeks guidance from the Advisory Committee on whether these projects should, or shouldn't be, considered in principle by the Agreement. This issue will be addressed by the Seabird Bycatch Working Group (see item 14 on the SBWG meeting agenda), so the outcomes of that discussion will be considered by the Advisory Committee.

3.4. Implementation of projects.

Some projects supported in 2010 have not yet started and the Secretariat and Advisory Committee Chair have been asked to allow an extension for their implementation. Given that the timing of the project is a consideration at the time of evaluation of the proposal, the question arises whether a project that is relevant at the time of the application, is still relevant a year or two later. Advice is sought from the Advisory Committee on whether (1) extensions should be granted and under what circumstances, and (2) if the Advisory Committee should be consulted when consideration is given to granting such extensions.

3.5. Details of project proposals.

One of the issues identified by the Grants Sub-Committee and project reviewers was that the limited information in some project proposals (regarding research protocol, methods and sample sizes) made it difficult to assess rigorously the value of the project. For example, details on experiments planned (see 3.3) and risks to timely implementation (see 3.4) are very relevant during the assessment and final selection of proposals. Specific guidelines could be added to the application template to assist applicants and facilitate the review process. The AC is asked to provide advice on the level of detail requested from applicants in order to allow all projects to be properly evaluated.

ANNEX 1. PROCEDURE FOR THE ALLOCATION OF FUNDS TO THE ADVISORY COMMITTEE WORK PROGRAMME



AGREEMENT ON THE CONSERVATION OF ALBATROSSES AND PETRELS

Procedure for the Allocation of Funds to the Advisory Committee Work Programme

Working Group:

Name of Member:

Project # and applicant	Merit ^(a) (1-5)	Relevance ^(b) (1-10)	Team ^(c) (1-3)	Project feasibility ^(d) (1-5)	Budget feasibility ^(e) (1-3)	Score ^(f) (1-5)	RANK ^(g) (1-x)	Comments	
								Strengths	Weaknesses

- (a) Scientific, technical or other merit of the proposal, such as the potential for capacity building or innovation (high = 5, low = 1);
- (b) Extent to which the project addresses the AC Work Programme and areas specified in the current call for applications (high = 10, low = 1);
- (c) Expertise of the team (particularly the Senior Researchers) who would undertake the proposed project (high = 3, low = 1);
- (d) Project feasibility (is the project capable of being achieved within the proposed timeframe) (high = 5, low = 1);
- (e) Budget feasibility (is the proposal capable of being achieved within the budget sought) (high = 3, low = 1);
- (f) Scoring standard: [1] “unsatisfactory”, not to be considered further; [2] “possibly unsatisfactory”, needs clarification or improvement before it could be considered satisfactory; [3] “satisfactory”, a feasible but not strong/high priority proposal; [4] “above average”, a competent proposal; [5] “excellent”, competent, good value and contributes to high priority tasks.
- (g) Sort assessed applications in order of most highly to least recommended for funding, where 1 = most highly recommend for funding.

ANNEX 2. DETAILS OF PROJECT APPLICATIONS RECEIVED AND GRANTED (HIGHLIGHTED IN GREY) BY THE ADVISORY COMMITTEE FOR THE PERIOD 2008-2012.

Project #	Project title	Requested (AUD\$)	Granted (AUD\$)	Project leader, affiliation
ACAP 08-01	Increased capacity to progress ACAP Action Plan and AC Work Programme	46,000	46,000	ACAP Secretariat
ACAP 08-02	Does the thaw status of bait used in pelagic longline fisheries affect the sink rates of baited hooks in depths of the water column accessible to seabirds?	8,000		Graham Robertson, Australian Antarctic Division
ACAP 08-03	The Southern Giant Petrel: steps towards the conservation of procellariiform birds within the Patagonian Shelf	60,000		Flavio Quintana, Centro Nacional Patagónico
ACAP 08-04	At-sea trials to investigate the effectiveness of bait pods in reducing seabird bycatch in pelagic longline fisheries	20,000	20,000	Ben Sullivan, BirdLife International
ACAP 08-05	Under attack! The effects of predation by the introduced House Mice on the breeding success and interval of the CE Tristan Albatross	4,750	4,750	John Cooper, Conservation and Restoration Initiatives
ACAP 08-06	Assessment of waved albatross abundance and behaviour near Peruvian fishing vessels and of socio-economic aspects related to seabird interactions	30,080	20,000	Pro-Delphinus, Peru
ACAP 08-07	Albatross, petrels and fisheries in Peru: Evaluating bycatch and seabird distribution and abundance	36,636	23,067	Asociación Peruana para la Conservación de la Naturaleza.
ACAP 08-08	Seed funding – 2010 World Seabird Conference	20,000		Louise Blight, Local Organising Committee
ACAP 08-09	Population assessment and at-sea distribution of black petrels breeding on Little Barrier Island, New Zealand	35,450		Johanna Pierre. Department of Conservation

Project #	Project title	Requested (AUD\$)	Granted (AUD\$)	Project leader, affiliation
ACAP 08-10	Global Procelariform Tracking Database	10,000	10,000	Cleo Small, Frances Taylor, BirdLife International
ACAP 08-11	Capacity Building – Observer Workshop	5,000	5,000	Argentina, Ecuador, BirdLife International
ACAP 09-01	Development of ACAP database-generated Implementation Reports	5,000	5,000	ACAP Secretariat
ACAP 09-02	Improving Waved Albatross Conservation: Monitoring Changes in Population Size and Vital Rates	16,950	16,950	Kate Huyvaert, Colorado State University
ACAP 09-03	Evaluación diagnóstica del grado de implementación de registro de captura incidental de aves marinas en pesquerías de las aguas jurisdiccionales argentinas	42,683		Fabián Rabuffetti, Aves Argentinas (AA), Guillermo Caille, Fundación Patagonia Natural (FPN)
ACAP 09-04	Responding to the evolution of Peru’s artisanal longline fleet: characterising fleet mechanisation and introducing weighted swivels	16,890	20,974	Pro-Delphinus, Peru
ACAP 09-05	Seabird interactions with trawl fishery for Peruvian hake in northern Peru	25,512	20,056	Asociación Peruana para la Conservación de la Naturaleza.
ACAP 09-06	Fact sheets for best practice techniques to mitigate seabird bycatch in pelagic longline, demersal longline and trawl fisheries	18,216	18,216	Ben Sullivan, BirdLife International
ACAP 09-07	State and conservation of the Southwest Atlantic Ocean and Antarctic Albatrosses and Petrels populations: Effects of fisheries and climate change on populations	9,619		Tomás José Luis Orgeira – Diego Montalti
ACAP 09-08	Development of Tools to Guide the Reduction of Seabird Bycatch	20,000		Johanna Pierre, Department of Conservation

Project #	Project title	Requested (AUD\$)	Granted (AUD\$)	Project leader, affiliation
ACAP 09-09	Implementation of a Scientific Observer Programme to Evaluate the Interaction of Seabirds with Demersal Fisheries in the South of Chile	10,000	10,000	Instituto de Fomento Pesquero, Chile
ACAP 09-10	Regional workshop “Improving data collection on incidental mortality of seabirds from South American Observer Programmes”	23,000	23,000	Argentina, Brazil, Chile, Ecuador, Peru, Uruguay
ACAP 09-11	A stepped approach to evaluating the effectiveness of a fast sinking line-weighting regime	5,850	5,850	Graham Robertson, Australian Antarctic Division
ACAP 10-01	At-sea distribution of the WAAL and overlap with fishing fleets of the central Peruvian coast (Joanna Alfaro-Shigueto & Jeffrey C. Mangel, Pro Delphinus)	24,940	13,000	Pro-Delphinus, Peru
ACAP 10-02	The Albatross and the Fish: Linked Lives in the Southern Ocean. Book forthcoming from the University of Texas Press in fall 2011.	26,636		Robin Doughty & Virginia Carmichael, USA
ACAP 10-03	Evaluating alternative approaches to predicting at-sea distributions and fisheries overlaps of ACAP species in Ecological Risk Assessments	7,200	7,200	Richard Phillips, British Antarctic Survey
ACAP 10-04	Concluding six years of research on seabird bycatch reduction through modified discharge management regimes: Is batch discharge better than ad-hoc discharge from trawl vessels?	14,500	14,500	Johanna Pierre, DOC, New Zealand
ACAP 10-05	Including ACAP species in IUCN/SSC ISSG IBIS [Island Biodiversity- the threat of Invasive Species] database- an awareness raising tool and a platform for exchange of best practice in the management of invasive species on island ecosystems.	12,140		Shyama Pagad, IUCN/SSC Invasive Species Specialist Group
ACAP 10-07	Mentoring the Development of New Fishing Practices and Technology that Reduce Seabird Deaths	20,000		Janice Molloy, Southern Seabird Solutions

Project #	Project title	Requested (AUD\$)	Granted (AUD\$)	Project leader, affiliation
ACAP 10-08	Monitoring Bycatch in Peruvian Artisanal Longline Fishery applying three methods	30,031		Liliana Ayala (APECO)
ACAP 10-09	Internal Consultation Process for the Consolidation of the National Plan of Action for the Conservation of Seabirds in Peru	15,400	15,400 (not wired)	Elisa Goya, IMARPE, Ministerio de la Producción, Peru
ACAP 10-10	Defining high-risk areas in the Argentinean Continental Shelf: to which extent albatrosses and petrels interact with the Argentine high-seas commercial trawl fleet?	14,000	14,100	S Copello & JP Seco Pon (CONICET, Argentina)
ACAP 10-11	Improving data collection on seabird incidental mortality associated with fisheries in South American observer programmes: Part II – year 2011	17,000	10,000 (not wired)	Argentina, Brazil, Chile, Ecuador, Perú and Uruguay
ACAP 10-12	The influence of local climate variability on the reproductive success of the waved albatross <i>Phoebastria irrorata</i>	27,588		Gustavo Jimenez-Uzcategui, Charles Darwin Foundation
ACAP 10-13	Final on-shore development of 'hook-pod' to reduce seabird bycatch in pelagic longline fisheries	35,000	25,000	Ben Sullivan, BirdLife International
ACAP 10-14	Incidencia de aves marinas en las pesquerías artesanales en el Ecuador: Caso de Estudio caleta pesquera de Santa Rosa (Provincia de Santa Elena)	32,500		Marco Herrera C., Instituto Nacional de Pesca
ACAP 10-15	Estimates of the Waved albatross mortality in artisanal fisheries during the critical period of incubation	24,950	15,000	Jorge Samaniego, ATF Ecuador, Aves & Conservación
ACAP 12-01	Albatrosses and Petrels – Visitors of Parana offshore waters. A Survey of seasonal occupation, health status and their interactions with fishery	19,250		Paulo Rogerio Mangini - Instituto Brasileiro Medicina da Conservação - TRÍADE
ACAP 12-02	Long term trends in Sooty Shearwaters (Ti'ti; <i>Puffinus griseus</i>): Using a culturally important seabird to predict shifts in the Southern Oscillation	10,000		Grant Humphries, Department of Zoology, NZ

Project #	Project title	Requested (AUD\$)	Granted (AUD\$)	Project leader, affiliation
ACAP 12-03	Seabird mitigation effectiveness of the Smart Tuna Hook in Tuna longline fishing	20,000	20,000 (not wired)	Barry Baker, Southern Seabird Solutions Trust
ACAP 12-04	Population demography and at-sea distribution of Sooty Albatross at the Prince Edward Island	17,600	17,600 (part wired)	Peter G Ryan, Percy FitzPatrick Institute, South Africa
ACAP 12-05	Identifying marine hotspots for seabird conservation management in the north-east Pacific	10,000		Pete Davidson, Bird Studies Canada
ACAP 12-06	NGO action in Santa Rosa, Ecuador to reduce bycatch of Waved albatross (and other seabirds) in artisanal longline fisheries	20,000	20,000 (part wired)	J Hardesty Norris, G Wallace (American Bird Conservancy); O Yates, E Frere (BirdLife International)
ACAP 12-07	Tracking Juvenile Tristan Albatrosses at Gough Island	20,000	20,000 (not wired)	Ross Wanless, BirdLife South Africa
ACAP 12-08	Evaluación del impacto de la pesca sobre la pardela balear <i>Puffinus mauretanicus</i>	20,000		José Manuel Arcos, SEO/BirdLife
ACAP 12-09	Evaluación del impacto de la pesca de arrastre de fondo en la aves marinas en Uruguay	20,000	20,000 (not wired)	Andrés Domingo, Lab. Recursos Pelágicos, DINARA, Uruguay
TOTAL FUNDS		806,953	460,663	

ANNEX 3. DISTRIBUTION OF FUNDS (AUD) BY SUBJECT

	Mitigation, observers	At sea bycatch, distribution	Land threats	Workshops, fact sheets	Biology	AC Work Programme
2008	20,000	20,000	4,750	5,000		46,000
		23,067				
		10,000				
Total	20,000	53,067	4,750	5,000		46,000
2009	20,974	20,056		18,216		5,000
	10,000			23,000	16,950	
	5,850					
Total	36,824	20,056		41,216	16,950	5,000
2010	14,500	13,000		15,400		
	25,000	7,200		10,000		
		14,100				
		15,000				
Total	39,500	49,300		25,400		
2012	20,000	20,000			17,600	
	20,000	20,000				
Total	40,000	40,000			17,600	
TOTAL	136,324	162,423	4,750	71,616	34,550	51,000
	(30%)	(35%)	(1%)	(16%)	(8%)	(11%)