

# **Protocol for access to data from the University of Auckland under Procedure B (Annex T- Data Availability) for the In-Depth Assessment of Western North Pacific common Minke whales**

## **INTRODUCTION**

This protocol describes the process of accessing genetic data held by CS Baker at the University of Auckland, New Zealand, (as listed in Annex G, Appendix 2, Adjunct 1), that the Scientific Committee believes would be valuable in the In-Depth Assessment of the Western North Pacific Common Minke Whales. This protocol has been developed in the context of Procedure B of the IWC Scientific Committee's rules for data availability, adopted at the 55th Annual Meeting (Annex T - Report of the Data Availability Working Group). Applications can be made only by accredited persons (in accordance with the Committee's Rules of Procedure).

## **FORMAT OF THE PROPOSAL**

A brief standard form proposal should comprise:

- (1) the objectives of the research;
- (2) the methods;
- (3) the data required; and
- (4) an agreement to abide by both the General and Specific conditions for data use (shown below).

## **GENERAL CONDITIONS FOR DATA RECIPIENTS (UNMODIFIED FROM ANNEX T)**

All applications for Data Use are granted under the following conditions:

- (1) Data shall not be transmitted to third parties.
- (2) Papers may only be submitted to a Committee meeting in accordance with the time restrictions given below. Such papers must not include the raw data or the data in a form in more detail than is necessary to understand the analysis.
- (3) Papers must carry a restriction on citation except in the context of IWC meetings.
- (4) Data owners are offered co-authorship.
- (5) Publication rights remain strictly with the data owner.
- (6) Data shall be returned, to the Secretariat or the data owner as appropriate, immediately after the meeting at which the paper is submitted and any copies destroyed, unless an extension is granted.
- (7) Data requesters sign a form agreeing to the above conditions. Such forms will be held by the data owner and the Secretariat. In the case of Procedure B, the Data Availability Group will sign the agreement on the Committee's behalf and ensure that the conditions of any agreement are met by any individual scientists involved in the analysis.
- (8) In the event of a breach of the conditions in (6), serious sanctions [to be determined] will apply.

## **SPECIFIC CONDITIONS OF THE APPLICATION (UNIVERSITY OF AUCKLAND)**

- (1) All applications will be addressed to the Data Availability Group, which, in consultation with CS Baker (as Data Owner), will decide if the application meets the criteria that the objectives and analyses will provide valuable advice for the In-Depth Assessment (other than catch limits) to the IWC.
- (2) The Data User must forward a draft paper documenting the data analyses and results to CS Baker (as Data Owner) with a copy to the Secretariat, one month prior to the meeting of the Scientific Committee (or any

intersessional meetings or workshops in which the data are to be used), and agree to provide the Data Owner with the following options in regards to the final report to the Committee:

- (i) Review the analysis in the interest of accuracy, with the intent to resolve any substantial errors that might have arisen in data coding by the Data Owner, or transfer or formatting by the Data User.
- (ii) Collaborate with the Data User as co-author, if the Data Owners feels they are able to extend the scope of the analyses and/or the conclusions of the draft paper.
- (iii) Prepare a rebuttal for consideration by the Scientific Committee, if the Data Owners do not agree with the analyses or conclusions reached by the Data User.

The Data Availability Group will ensure that the applicant(s) have signed the agreement to abide by the general and specific conditions for data use. The applicant will then be sent the data (in its submitted form) by the Secretariat (within two weeks). CS Baker, University of Auckland (as Data Owner) will be sent a copy of both the proposal and agreement.