

# SC/68A/CMP/03

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## Conservation Management Plans: outcomes of the mid-term review and improving communication between SC-CMP and SWG-CMP

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INTERNATIONAL  
WHALING COMMISSION

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## ABSTRACT

The mid-term review of the CMP Work Plan resulted in some changes to the CMP development and implementation process, which were endorsed by the Commission at IWC67. This paper provides a summary of the key outcomes of the review, and outlines the main changes to the CMP process. Of particular importance to the SC-CMP are the changes made to the nomination process, including that proponents are no longer required to submit a nomination before developing a CMP if the Scientific and Conservation Committees have identified the relevant species/population as a priority CMP candidate. The CMP funding guidelines were also updated to improve financial transparency and accountability, and to increase the onus for participating range states to explore and exhaust (to the extent appropriate in the circumstances) external funding avenues before approaching the Commission for financial support.

To support the new nomination process, this paper recommends a procedure for ensuring that all relevant Commission bodies maintain a common and up-to-date understanding of which cetacean species/populations are priority candidates for CMPs. This paper also proposes a process for improving communication between the SC-CMP and SWG-CMP on CMP funding.

## INTRODUCTION

During the 2016-18 intersessional period, the Conservation Committee's Standing Working Group on Conservation Management Plans (**SWG-CMP**) undertook a mid-term review of the CMP Work Plan 2014-2020. The review provided an opportunity to identify and re-focus priorities, improve processes, and increase the visibility of CMP achievements.

The mid-term review considered four main areas:

- The **process** for identifying, developing and implementing CMPs, particularly in light of the move to biennial Commission meetings
- The **roles and responsibilities** of the SWG-CMP and other relevant Commission bodies, including the Scientific Committee's CMP Sub-committee (**SC-CMP**)
- **Priority work areas** for the remaining two years of the work plan
- **Funding** for CMP activities, including the process for receiving and approving funding requests.

The SWG-CMP sought feedback from a variety of sources to inform the review. In December 2017, a survey was circulated to CMP coordinators, range states, and other contacts who had been involved in the CMP development and implementation process at any stage. The survey sought first-hand experience and feedback on all aspects of the CMP initiative, including the accessibility and usefulness of guidance documents, support received from the SWG-CMP and other Commission bodies, what works well, and what challenges respondents had faced. Feedback was received in relation to all four current CMPs.

The SWG-CMP consulted with the Secretariat and the Chairs of the Voluntary Conservation Fund Steering Group and the Intersessional Correspondence Group on Strengthening IWC Financing to discuss alignment of the CMP funding processes with the broader work underway within the Commission to improve financial management.

The review also drew on Australia's experiences and observations from chairing the SWG-CMP since its creation.

Draft documents were shared with the co-convenors of the SC-CMP at various stages of the review. The SWG-CMP appreciated the support provided by the Secretariat both in helping to design the survey, and in providing insightful feedback on the CMP process and the revisions to the work plan.

## FINDINGS OF THE MID-TERM REVIEW

The consistent themes from the survey responses were:

- Respondents appeared comfortable with the CMP templates, guidelines and other supporting documents, saying they were easy to access and understand
- Some respondents thought it would be useful to have more face-to-face support, particularly in the early stages of CMP development, so they can get first-hand insights and advice that might not otherwise be possible to convey in written guidance documents
- Some range states mentioned difficulties in maintaining momentum during CMP implementation. They said the main issues were lack of funding and buy-in from stakeholders responsible for progressing actions
- Respondents expressed a desire for better promotion of the CMP initiative and its achievements, both within and outside the Commission.

The SWG-CMP also identified a need to improve the CMP funding process to ensure greater consistency, transparency and accountability. Historically, funding requests had been considered on an ad-hoc basis, grants had not been governed by contracts, and there had been minimal reporting requirements for recipients once funds had been granted.

## REVISIONS TO THE CMP WORK PLAN

A revised work plan was endorsed by the Commission at IWC67 (**Attachment A**). The following changes were made to the work plan to address the findings of the review:

### General edits

The work plan was restructured and streamlined to make it more accessible to different audiences. It can now function as the primary source of information for anyone wanting to know about the CMP initiative. In particular, it now attaches updated CMP guidelines and funding principles.

### Updated CMP development process

The CMP development process was revised in light of the new biennial Commission cycle. The revisions maximise the timeliness and flexibility of the process, while also ensuring that outputs remain sufficiently robust, from both a scientific and policy perspective. A flow-chart outlining the revised CMP development process is at **Attachment B**.

The **nomination stage** is where the most changes were made.

As outlined in the CMP guidelines, the purpose of the nomination stage is to ensure that investment of time, energy, and resources by the Commission is warranted in that the underlying science demonstrates that urgent conservation action is needed for the species/population, and that positive conservation gains are likely to be achieved through the implementation of a CMP.

Survey feedback from range states suggested that the nomination stage is a good opportunity to prioritise actions, and most of the information produced for a nomination gets carried over to the CMP itself. The nomination stage was particularly important when the CMP initiative was new and the Commission did not have a clear understanding of suitable candidates for CMPs. Since then, the Scientific and Conservation Committees have done a lot of work to identify priority species/populations. Now, the Commission tends to approach range states to encourage them to develop a CMP, rather than the other way around.

In light of this, the SWG-CMP concluded that in situations where the Commission has identified a species/population as being a priority candidate for a CMP, and it has reached out to the range states to encourage them to develop a CMP, it would not be appropriate to require those range states to go through a potentially long and drawn out nomination process to justify back to the Commission the need for a CMP. In these cases, the nomination stage is redundant.

To give flexibility around the nomination stage, there are now two entry points for CMP development:

- The **first entry point** is where the Scientific and Conservation Committees have identified a species/population as a priority candidate for a CMP. In those situations, proponents would progress straight to drafting the CMP.
  - The SWG-CMP and the SC-CMP will work closely with the proponents during the early stages of the drafting to make sure the information included and the prioritisation of actions is on the right track.
- The **second entry point** is where a proponent proposes to develop a CMP for a species/population that has not been identified by the Scientific and Conservation Committees as a priority candidate for a CMP. In those cases, a nomination would still be required.
  - That nomination would be reviewed by the SWG-CMP and the SC-CMP. This would allow CMP nomination and development to commence within the same Commission cycle, as appropriate.

The CMP **development stage** and **final endorsement** by the Commission remains largely the same, although the SWG-CMP and the SC-CMP have a bolstered role in reviewing draft CMPs before they are submitted to the Scientific and Conservation Committees, to make consideration by the Committees and the Commission more streamlined and timely.

#### New and revised action items

The work plan will come to an end in 2020, so the SWG-CMP revised its actions to focus on things that are achievable, or that parties can make meaningful progress on during this intersessional period. The main changes relate to threat-based CMPs, regional inventories, better promotion of the CMP program, and increased support for range states. See **Attachment C** for more information about these changes.

At IWC67, the Commission agreed that the SWG-CMP will develop a thematic strategic plan and associated work program during this intersessional period, to take the place of the CMP work plan from 2020 onwards.

### **MAINTAINING A COMMON AND UP-TO-DATE UNDERSTANDING OF PRIORITY SPECIES/POPULATIONS FOR CMP DEVELOPMENT**

In light of the new nomination process, the revised work plan includes an action for the SWG-CMP and SC-CMP to develop a formal process and timeframes for reviewing and updating the list of priority species/populations for CMP development (currently located at page 12 of the revised work plan).

This will facilitate the new nomination process by making it clear to all parties when a nomination will or will not be required. It will also help facilitate improved outreach – the SWG-CMP will reach out to relevant range states within two months of a species/population being added to the priority list, explaining the CMP process and encouraging the development of a CMP.

#### Current priorities for CMP development

At present, the Arabian Sea humpback whale is the only population identified in the work plan as a priority for CMP development. The Commission is actively engaging with India and Oman (the two Commission member range states for the population) to encourage and support the development of a CMP. A nomination would not be required for this population.

A number of other species/populations have been identified in previous Scientific and Conservation Committee reports as possible candidates for CMPs:

- Blue whales in the northern Indian Ocean
- Fin whales in the Mediterranean Sea
- Sperm whales in the Mediterranean Sea
- North Pacific right whales
- Common minke whales in the coastal water of China, Japan and the Republic of Korea

- Harbour Porpoises in the North Sea
- South American River Dolphins

Further evaluation is needed to determine whether these species/populations would benefit from the development of a CMP. If one or more range state wishes to develop a CMP for these species/populations, they would first need to submit a nomination to the SWG-CMP and SC-CMP so that these groups could evaluate whether the Commission's investment of time, resources and support is worthwhile. The SWG-CMP has not reached out to range states in relation to these species/populations.

#### Communicating recommendations

To facilitate the new nomination process, the SWG-CMP requests that the SC-CMP makes clear recommendations at each of its meetings on which species/populations, if any, should be considered priorities for CMP development.

Pending agreement from the SWG-CMP, such a recommendation would result in:

- An update to the CMP Work Plan to include the species/population in the list of priorities for future CMPs
- The start of active outreach from the SWG-CMP to range states and other relevant stakeholders encouraging and supporting the development of a CMP
- Proponents moving straight to the CMP development stage (no nomination required), with support from the SWG-CMP and SC-CMP to ensure the information being included and the prioritisation of actions is on the right track.

The SWG-CMP would report back to each SC-CMP meeting on progress made on each of these actions.

The SWG-CMP suggests the SC-CMP use the following phrasing for its recommendations on this matter:

The Scientific Committee considers that [species/population] would benefit from the development of a CMP, and **recommends** that the SWG-CMP treat the species/population as a 'priority species/population' for the purpose of the CMP development process. In making this recommendation, the Scientific Committee acknowledges that a nomination would not be required for the species/population, and the Scientific Committee encourages the SWG-CMP to commence outreach to relevant range states and stakeholders to encourage and support the development of a CMP.

The SWG-CMP welcomes comments on this proposed approach.

#### Request for advice on Mediterranean Sea fin whales

Members of the Agreement for the Conservation of Cetaceans of the Black Sea, Mediterranean Sea and Contiguous Atlantic Area (ACCOBAMS) Scientific Council have started drafting an outline for a CMP for fin whales in the Mediterranean Sea. As this population is not identified in the CMP Work Plan as a priority CMP candidate, the proponents would need to submit a nomination for the SWG-CMP and SC-CMP's consideration before developing the CMP. The SWG-CMP requests the SC-CMP's advice on whether a nomination is necessary for this population, or whether it should be treated as a 'priority population' and progress straight to the CMP development stage.

### **IMPROVING COMMUNICATION ON CMP FUNDING**

Updated CMP funding guidelines were approved by the Commission at IWC67 (Attachment B of the revised work plan). The guidelines identify the Voluntary Conservation Fund (VCF) and the Scientific Committee's research fund as the two main sources of Commission funds to support CMPs. The guidelines make clear that the Commission should only be approached for financial support after stakeholders have explored and exhausted (to an appropriate extent) external funding avenues.

Historically, CMP funding requests have been considered on an ad-hoc basis by the Commission, and little strategic thought had been given to the comparative priority of projects, or to the equitable sharing of funds between CMPs.

To support a more fair and transparent process, the SWG-CMP will report to the SC-CMP at each Scientific Committee meeting on the voluntary funds approved or raised (as we expand our use of the Secretariat's new external fundraising process) for each CMP in the preceding 12 months. This may help the Scientific Committee to consider whether it is appropriate to provide financial support from its research fund. A summary of current and expected funding requests from the VCF is provided at **Attachment D**.

The SC-CMP is encouraged to also notify the SWG-CMP whenever funding to support CMPs is approved from the research fund.

**International Whaling Commission  
Conservation Management Plans  
Work Plan 2014-2020**

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## INTRODUCTION

- Conservation Management Plans (CMPs) are an important conservation initiative of the International Whaling Commission aimed at protecting and rebuilding vulnerable cetacean populations.
- Since the CMP initiative began in 2008, CMPs have been developed for four vulnerable cetacean populations – the Western North Pacific Gray Whale, the Western South Atlantic Southern Right Whale, the Eastern South Pacific Southern Right Whale, and the Franciscana dolphin (the first CMP for a small cetacean species).
- This work plan provides an overview of the CMP initiative and identifies priority work areas for the Commission and its subsidiary bodies to guide development and implementation of CMPs. An action plan, including specific tasks and timeframes for progressing these priority work areas, is included at page 16.

## MID-TERM REVIEW

- The current CMP work plan runs from 2014-2020. A mid-term review of the work plan and guidelines for CMPs was undertaken in the 2017-18 intersessional period. A revised plan and guidelines for CMPs were endorsed by the Commission in September 2018.
- Major revisions included:
  - Removal of completed and/or superseded actions
  - Addition of new actions, and updating of pre-existing actions, to reflect the findings of the mid-term review – particularly in relation to improving the visibility of the CMP initiative and increasing support for participating range states<sup>1</sup> during the CMP development and implementation stages
  - Amendments to the CMP development process to ensure it is timely and flexible in light of the move to biennial Commission meetings
  - Consolidation and updating of the CMP guidelines and funding principles.
- Further details of the mid-term review can be found in the report of the CMP Standing Working Group to IWC67 (Document IWC/67/CC/08).
- This work plan will end in 2020. In line with the Conservation Committee's guidance on strategic planning (IWC/66/CC10), a new thematic strategic plan and associated work program will be developed during the 2018-20 intersessional period to take the place of this work plan from 2020 onwards.

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<sup>1</sup> A range state is any nation that exercises jurisdiction over any part of a range which a species or population inhabits, or crosses at any time on its normal migration route. In this work plan, a 'participating range state' refers to any range state that is participating in the development and/or implementation of a CMP.

### Why are CMPS a priority for the Commission?

- In the nineteenth and twentieth centuries, over-exploitation severely reduced many populations of the world's great whales, some to near extinction. Although the cessation of large-scale industrial whaling has resulted in a number of populations starting a slow recovery, some remain severely depleted.
- In 1982, the Commission agreed to a global moratorium on commercial whaling, which remains in place today. These days, cetaceans face additional threats including climate change, marine debris and other pollution, habitat destruction, ship strikes, bycatch and unregulated wildlife tourism.
- Addressing these threats requires tailored and flexible approaches as cetaceans face multiple and complex threats which can differ between regions and populations. CMPS are management tools that allow the full range of threats to be addressed.

### What are CMPS?

- CMPS are aimed at protecting and rebuilding vulnerable cetacean populations. They are based on the best available science and management expertise, and focus on practical management actions that have the greatest chance of achieving improvements in the conservation and recovery of cetacean populations.
- CMPS are voluntary, led by range states, and provide a coordinated and collaborative framework for addressing transboundary gaps in existing cetacean conservation measures.
- CMPS include:
  - Information on the biology and status of the population/species
  - A summary of actual and potential threats to the population/species
  - Actions to address those threats
  - Implementation strategies.
- An essential component of a CMP is the active involvement of stakeholders, including those whose actions contribute to the threats.
- CMPS are intended to complement existing international conventions and agreements, as well as current domestic legislation and management regimes in range states. They are not designed to replace or override existing international and domestic measures.

### International framework

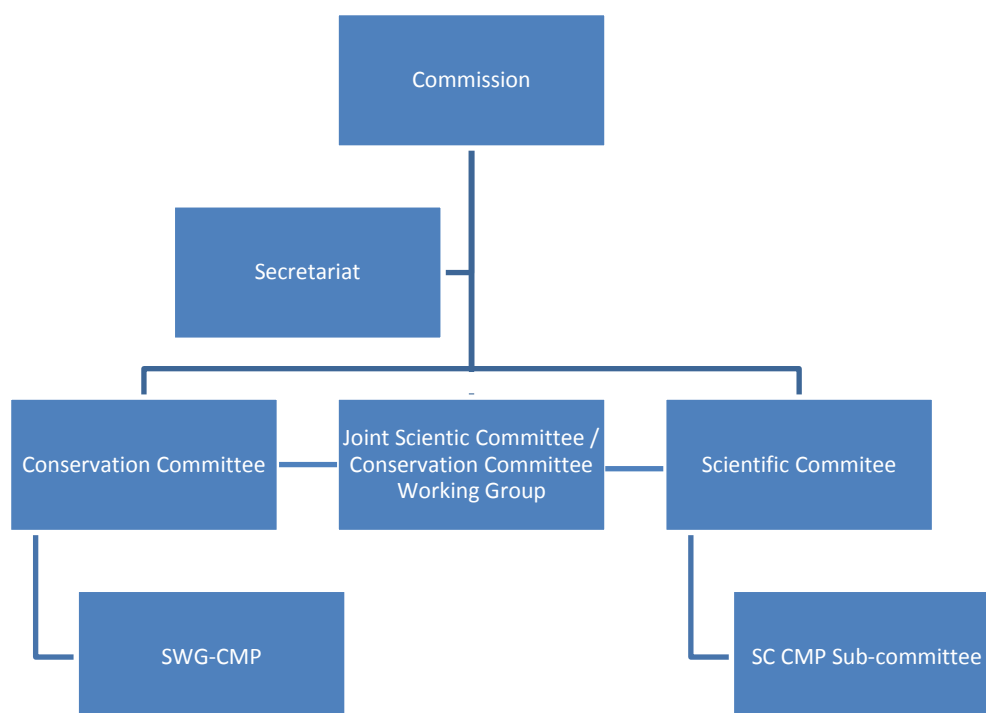
- CMPS are consistent with both the purpose and provisions of the International Convention for the Regulation of Whaling by providing for the “proper and effective conservation and development of whale stocks.”
- Article V(1) of the Convention provides that the Commission may adopt measures with respect to the conservation of whale resources.

## Development of CMPs

- A proposal to develop a CMP will usually be supported by the Commission when the underlying science demonstrates that urgent conservation action is needed and that coordinated action is likely to lead to real conservation gains.
- The process for developing a CMP involves a number of interrelated stages: nomination, development, endorsement by the Commission, implementation, monitoring and review.
- Detailed guidelines are provided at **Annex A**.

## Governance

- There are a number of Commission bodies that support the development and implementation of CMPs.



**Figure 1. CMP governance**

- The Commission is the final decision-maker in the CMP process. The Conservation Committee and Scientific Committee oversee the CMP initiative, review draft CMPs, and provide recommendations and advice to the Commission and its subsidiary bodies. Coordination between the Conservation and Scientific Committees is supported by the Joint Scientific Committee/Conservation Committee Working Group.
- The Commission's Secretariat provides administrative support. Key activities include:
  - Supporting the Conservation Committee's Standing Working Group on CMPs (SWG-CMP) in its outreach and promotion of the CMP initiative
  - Helping participating range states to cost CMP actions
  - Managing financial contracts between the Commission and participating range states.

- The two main bodies responsible for CMPs are:

#### SWG-CMP

- The SWG-CMP is the primary coordination point for the CMP program. Key activities include:
  - Providing support and advice to participating range states and other participating stakeholders on the CMP nomination, development and implementation process
  - Maintaining CMP guidelines and templates
  - Facilitating the provision of data and expert advice from relevant committees and sub-committees to participating range states and other participating stakeholders, as appropriate
  - Maintaining an up-to-date list of priority cetacean populations/species for CMP development, with support from the SC-CMP
  - Conducting outreach and promoting the CMP initiative within and outside the Commission to encourage participation and engagement
  - Reviewing CMP nominations and draft CMPs in line with the CMP guidelines
  - Evaluating the progress and implementation of CMPs and reporting to the Conservation Committee and the Commission
  - Making decisions on the allocation and distribution of funds.

#### Scientific Committee's CMP Sub-committee (SC-CMP)

- The SC-CMP was established in 2016 to consider populations that are the subject of existing CMPs, or are high priority candidates for a CMP, with a focus on progressing scientific work and developing information. Key activities include:
  - Providing recommendations to the SWG-CMP on priority populations/species for CMP development
  - Reviewing CMP nominations and draft CMPs in line with the CMP guidelines
  - Providing scientific advice to participating range states and other participating stakeholders during the development of CMPs
  - Assisting participating range states in progressing scientific actions included in their endorsed CMPs.

#### **Funding for CMPs**

- It is the responsibility of participating range states and other participating stakeholders to fund CMP development and implementation.
- The Commission has two streams of funding to assist the development and implementation of CMPs: voluntary contributions received from Contracting Governments for conservation purposes; and the Scientific Committee Research Fund.

- Where funding for CMP actions is sought from the Commission, an implementation strategy will be required, setting out costs, timelines and deliverables, and associated reporting on progress in the delivery of funded actions and their contribution to agreed objectives.
- Consideration by the Commission on whether to financially support a CMP, and to what degree, is informed by the capacity of participating range states to pay, conservation priority, the cost effectiveness of agreed actions, and funding availability.
- Further information on CMP funding principles and processes is provided at **Annex B**.

<b>CURRENT CMPS AND PROGRESS TO DATE</b>
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- Four CMPS are being implemented for: the western North Pacific gray whale, the southwest Atlantic southern right whale, the southeast Pacific southern right whale, and the Franciscana dolphin. A brief description of these plans is provided below. The CMPS for each of these populations can be found on the Commission's website:  
<https://iwc.int/conservation-management-plans>

#### ***Western North Pacific Gray Whale CMP***

- The western gray whale population is considered endangered by the International Union for the Conservation of Nature (IUCN), numbering only about 200 animals in 2015. Although there is evidence that the population is slowly recovering, it remains on the edge of survival. The Scientific Committee has expressed great concern about this population and highlighted the urgent need to reduce anthropogenic mortality to zero.
- The *Western North Pacific Gray Whale CMP* was endorsed by the Commission in 2010. At the 2014 Commission meeting, a Memorandum of Cooperation was signed by three range states: Japan, the Russian Federation and the USA. The Memorandum supports the work and implementation of the CMP and was strengthened in 2016 by the addition of two new range state signatories: the Republic of Korea and Mexico.
- The overall goal of the CMP is to reduce mortality related to anthropogenic activities to zero and maximise the population's chances for recovery, based on the best scientific knowledge.
- One of the first actions called for in the CMP was a collaborative satellite telemetry program, tagging western gray whales to understand more about their migratory behaviour. Tags applied in 2010 and 2011 showed movement of some animals from the western to eastern North Pacific, contradicting the long-held belief that these were two entirely isolated populations. It has also been established that not all western gray whales follow a winter migration from the western to eastern Pacific. Sightings and acoustic signals have been recorded off Japan and China during the winter and early spring months, indicating that the population structure of gray whales in the North Pacific is complex.
- In light of this new information, the Scientific Committee began a range wide review of North Pacific gray whales in 2014. The Fifth Rangewide Workshop on the Status of North Pacific Gray Whales was held in March 2018. The Workshop recommended that the Scientific Committee establish a small drafting group to update the CMP in light of new information and develop conservation questions that can be assessed using the new modelling framework for gray whales rangewide.

- In June 2017, an entanglement response training workshop was held in Russia, supporting CMP actions regarding entanglement in fishing gear.
- The [Western North Pacific Gray Whale CMP](#) can be found on the Commission's website.

### ***Southwest Atlantic Southern Right Whale CMP***

- Although southern right whales are classified as Least Concern by the IUCN, the species was severely depleted by the whaling industry and illegal hunting from the 1950s to 1970s. This has delayed the population's recovery. Some south Atlantic southern right whale populations are reported to be increasing at around seven per cent annually. However, the survival and recovery of the southwest Atlantic southern right whale, which was estimated at around 4,000 individuals in 2010, requires prompt and effective conservation action.
- The *Southwest Atlantic Southern Right Whale CMP* was endorsed by the Commission in 2012. Argentina, Brazil, Chile and Uruguay are signatories to the CMP.
- Argentina coordinated the CMP from 2012-2016. Brazil took over the coordination role in 2016.
- One of the key concerns for this population is the recent and widespread mortalities of infant southern right whales. A southern right whale workshop held by the Commission in 2011 highlighted that 91 per cent of southern right whale deaths since 1971 have been first year whale calves. A second workshop was conducted in 2014, with its report used as a baseline to implement the project "Southern Right Whale Mortalities at Peninsula Valdés, Argentina: Effects on population dynamics and impact of kelp gull on right whale health" in 2015. This program has resulted in a reduction in mortality numbers. Continuation of the work is important to better understand possible long-term effects on the population and to continue to develop effective mitigation and conservation measures.
- The overall goal of the CMP is to protect habitat for the population, minimising anthropogenic threats to maximise population recovery. The plan provides a platform and framework for range states to work collaboratively and cooperatively to monitor population recovery and to address actual and potential threats to the population.
- Progress to date includes the appointment of a Coordinator and Steering Committee, research into the population's geographic interaction, capacity building of range states to respond to whale strandings, studies with satellite telemetry on southern right whales off Peninsula Valdes to determine their migratory route, and efforts to share data across catalogues that provide complementary information. In Brazil, boat-based whale watching has been prohibited since 2015 and a government management plan for whale watching is being finalised.
- The CMP is reviewed annually with comprehensive evaluation every 3-5 years. The first comprehensive review was done in 2016.
- The [Southwest Atlantic Southern Right Whale CMP](#) can be found on the Commission's website.

### ***Eastern South Pacific Southern Right Whale CMP***

- The eastern south Pacific population of southern right whales is classified as critically endangered by the IUCN and is estimated to number less than 50 mature individuals. The population has not shown the repopulation rates observed in other southern right whale populations in the southwest Atlantic, Australia or South Africa.
- The *Eastern South Pacific Southern Right Whale CMP* was endorsed by the Commission in 2012. Chile and Peru are signatories to the CMP.
- Chile was appointed coordinator for the CMP in 2017.
- The overall goal of the CMP is to guide and encourage the recovery of the population to levels that will allow the species to withstand both environmental and anthropogenic impacts and ensure its long term survival.
- Progress to date includes the appointment of a Coordinator and Steering Committee, establishment of national working groups, the regulation of the whale watching industry to land-based activities only, the implementation of a passive acoustic monitoring program to identify a breeding area, and strategies to build the capacity of range states to respond to entanglements of strandings of members of the population.
- The CMP is reviewed annually, with a comprehensive evaluation every 4-6 years.
- The [Eastern South Pacific Southern Right Whale CMP](#) can be found on the Commission's website.

### ***Franciscana dolphin CMP***

- The Franciscana dolphin is classified as vulnerable by the IUCN due to fishing-related mortality at levels believed to be unsustainable. The expansion of gillnet fisheries within the species' home region is predicted to accelerate the population's decline.
- The *Franciscana CMP* was endorsed by the Commission in 2016, and was the first CMP endorsed for a small cetacean species. Argentina, Brazil and Uruguay are signatories to the CMP.
- Argentina was appointed coordinator for the CMP in 2017.
- The overall goal of the CMP is to protect Franciscana habitat and minimise anthropogenic threats, particularly bycatch.
- Progress to date includes the appointment of a Coordinator and Steering Committee, and the implementation of actions to reduce bycatch, research on population structure and acoustics. A coordination meeting was held in June 2018 to determine priority actions to progress under the CMP.
- The CMP is reviewed annually, with a comprehensive evaluation every 4-6 years.
- The [Franciscana CMP](#) can be found on the Commission's website.

## PRIORITY WORK AREAS – 2018-2020

- This section outlines priority work areas where the Commission, its subsidiary bodies, and other stakeholders should focus their efforts during the remaining two years of this work plan, to improve the effectiveness and efficiency of the CMP initiative.

### Current CMPs

- Full and effective implementation of CMPs is important to ensure conservation improvements are achieved for these at-risk populations.
- Priority actions for each of the current CMPs during the 2018-20 intersessional period include:

#### Western North Pacific Gray Whale CMP

- Engaging with stakeholder groups in range states to develop actions to increase public awareness and build capacity of states to respond to any reports of gray whales (including sightings, strandings and bycatch).
- Establishing programs in all range states for long-term monitoring of gray whales, including photo-identification, biopsy sampling, acoustic monitoring, and/or satellite tagging.
- Developing a communication mechanism to notify relevant experts when gray whales are sighted, found stranded, or found entangled in fishing gear.
- Developing a shared photo-identification catalogue and dataset under the auspices of the Commission, for research groups collecting data on gray whales.
- Holding a stakeholder workshop to finalise the CMP and develop an implementation strategy.

#### Southwest Atlantic Southern Right Whale CMP

- Developing a strategy specific to each range state to increase public awareness of the conservation status of and potential threats to southern right whales and build capacity in range states to respond to entangled or stranded whales.
- Determining movements, migration routes and location of feeding ground(s) through satellite telemetry.
- Ensuring long-term monitoring of abundance, trends and biological parameters through photo-identification and biopsy sampling.
- Developing a regional entanglement response strategy.
- Establishing an expert advisory panel to review environmental impact assessments associated with human activities that may affect southern right whales in the region.

#### Eastern South Pacific Southern Right Whale CMP

- Holding coordination meetings.
- Increasing sighting efforts on possible reproductive areas, including implementing a passive acoustic monitoring program.



- Increasing efforts to collect photo-identifications and genetic data.
- Strengthening capacities on entanglement and stranding response in both Chile and Peru.
- Increasing capacities to identify cetacean species, with particular emphasis on southern right whales along the coasts of Chile and Peru.
- Providing advice on whale watching regulations for the population.
- Developing a strategy to raise public awareness of the population.

#### Franciscana CMP

- Continuing to investigate population structure.
- Monitoring abundance, trends and bycatch.
- Mitigating bycatch.
- Developing or implementing protected areas.
- Encouraging the implementation of the National Action Plan to reduce the interactions of marine mammals with fisheries (PAN) in Argentina.
- Developing a strategy to increase public awareness of the Franciscana.
- Including the Franciscana in bilateral and multilateral discussions.

#### **Strengthening support for range states**

- CMP implementation is a challenge for some range states. Despite making substantial progress early on, participating range states report their efforts stalling before full implementation is achieved, primarily due to a lack of funding and/or lack of buy-in from stakeholders responsible for progressing actions.
- Building greater awareness and understanding of the CMP initiative may help to address some of these issues. The SWG-CMP should consider working with participating range states to develop strategies for improving engagement and securing funds for priority CMP actions, including how the Commission can assist (e.g. through outreach, writing letters of support etc.).
- Development and implementation of CMPs requires effective collaboration and cooperation between the various Commission groups. The Commission has extensive experience and expertise in both cetacean research and management. Better capitalising on this will be crucial to the development of future CMPs – particularly in designating priority species, monitoring population levels and developing effective mitigation measures.
- The SWG-CMP should also consider options for facilitating greater in-person support for participating range states during the CMP development and implementation process. While participating range states indicated during the mid-term review that the CMP guidelines and templates provide sufficient information to help range states develop their CMPs, several range states indicated that in-person support or mentoring from someone who has been involved in the CMP process would be useful. Such a program could provide valuable

insights and assistance to participating range states that could not otherwise be transmitted in standard text documents.

### **Future CMPs**

- It is important for the SWG-CMP and the SC-CMP to work together to ensure that the Commission's list of priority species remains current. This list helps the Commission and its subsidiary bodies to focus their CMP efforts on the most at-risk cetacean species. The list also determines whether a nomination must be submitted to the SWG-CMP before development of a CMP commences (refer to the CMP guidelines at **Annex A**).
- The SWG-CMP and the SC-CMP should develop a formal process for ensuring this list remains current.
- Engagement with key external stakeholders will also be important in the development of future CMPs. The IUCN has already proved to be a valuable partner in the designation of priority species, particularly their cetacean species red list reporting.

### ***Priority species for future CMPs***

#### ***Arabian Sea humpback whales***

- The Arabian Sea population of humpback whales was first suggested as a possible candidate for the development of a CMP in 2010. The population is listed as endangered by the IUCN and, based on a 2008 assessment, is believed to comprise only 82 individuals.
- Severe scarring from entanglement, coastal infrastructure developments, offshore hydrocarbon exploration, the potential for unregulated whale-watching and the planned commencement of new shipping routes and increased shipping traffic through known habitats are concerning.
- Consistent with advice from the Scientific Committee, research on this population has continued, along with efforts amongst scientists and non-government organisations to establish a regional initiative to coordinate conservation efforts for the population.
- An Arabian Sea Humpback Whale Network was formed during a workshop held in Dubai in 2015. This network has been used to exchange information and showcase research and conservation in various Arabian Sea Humpback whale range states.
- In October 2017, the Conference of the Parties of the Convention on Migratory Species (CMS) agreed a Concerted Action for the population, which included the development of a CMP. Supporting statements were made by Oman, India, Pakistan, United Arab Emirates, Ecuador, Iran, Saudi Arabia, and the Commission's Secretariat.
- In December 2017, the Chair of the SWG-CMP and the Commission's Secretariat jointly wrote to Oman and India asking them to consider leading the development of a CMP for the population, in collaboration with other range states, the Commission, and the CMS. India responded in April 2018 indicating their support for the development of a CMP.
- It is important that the Commission builds on these developments and continues to engage with relevant range states to support the development of a CMP for the population.

## **Further research**

- The Scientific Committee has identified the following potential candidates for future CMPs. Further evaluation is needed to determine whether these populations would benefit from development of a CMP.

### *Blue whales in the northern Indian Ocean*

- There are no population estimates for this population, but there have been a number of reported ship strikes off Sri Lanka.
- At IWC64 in 2012, the Scientific Committee noted new quantitative information on ship strikes in Sri Lanka and raised concern about the issue. The Secretariat wrote to the Sri Lankan government in June 2013 offering Scientific Committee assistance to address the issue of ship strikes off the southern coast of Sri Lanka as one of the busiest shipping routes in the world that overlaps with an area of high whale sightings, including blue whales.

### *Fin whales in the Mediterranean Sea*

- This population is listed as vulnerable by the IUCN and is known to be subject to high levels of ship strikes. The Commission and the parties to the Agreement on the Conservation of Cetaceans in the Black Sea, Mediterranean Sea and Contiguous Atlantic Area (ACCOBAMS) have a joint work plan to address ship strikes in the Mediterranean. ACCOBAMS has endorsed the concept of a CMP for the population and a small group met in mid-2018 to draft an outline for the CMP.

### *Sperm whales in the Mediterranean Sea*

- This population is listed as endangered by the IUCN and is at risk from driftnet entanglement and ship strikes.

### *North Pacific right whales*

- This population is listed as endangered by the IUCN. The Scientific Committee has noted concern over the small size of this population, and the need for more research to understand its distribution, assess threats and identify actions that could be taken to reduce them. Range states for this population are the same as for the current CMP on western Pacific gray whales and there may be options for integrating north Pacific right whales with this plan.

### *Common minke whales in the coastal waters of China, Japan (especially the west coast) and the Republic of Korea*

- Due to the uncertainties in stock structure and high levels of incidental bycatch of this population, consideration was given by the Scientific Committee as to whether this population would benefit from the development of a CMP. However, it was considered premature to put this proposal forward at the time due to these uncertainties and the poor survey coverage in some areas.

### *Harbour Porpoises in the North Sea*

- A Conservation Plan for Harbour Porpoises in the North Sea has been adopted by the parties to the Agreement on the Conservation of Small Cetaceans of the Baltic, North

East Atlantic, Irish and North Seas. This plan, acknowledging the threats to this population from bycatch and live strandings, agreed to a series of priority actions to improve the conservation status of this population. Actions include research to fill in existing information gaps, collection of incidental bycatch data and the establishment of bycatch observation plans and management procedures.

#### *South American River Dolphin*

- Several action plans for the South American River Dolphin have been endorsed by range states. Advice has been sought from the Scientific Committee regarding the suitability of the population for a CMP.
- The SWG-CMP and the SC-CMP should work together to ensure research is progressed on these species to determine their suitability for CMP development.
- Once a species has been identified as a priority candidate for a CMP, the SWG-CMP should reach out to relevant range states to encourage and support the development of the CMP.

#### **Regional Inventories**

- In 2011, the Commission agreed to develop inventories of cetacean conservation measures such as recovery plans and management plans, currently in place or underway, in each country, on a regional basis.
- These inventories can help to identify management gaps, and opportunities for addressing those gaps, through a collaborative regional approach.
- In 2012, the first regional inventory was endorsed by the Commission: [Cetacean Conservation Measures in the Pacific Islands Region, with a focus on Oceania Humpback Whales](#). The inventory provided a preliminary register of cetacean conservation measures in place in the Pacific Islands region.
- The Pacific inventory has not been updated since 2012, nor has its usefulness been evaluated.
- The SWG-CMP should evaluate the Pacific inventory, and provide recommendations to the Conservation Committee on whether the initiative should continue.

#### **Strengthening funding for CMPs**

- A high priority for the SWG-CMP will be to consider how funding for CMPs can be sustained into the future.

#### **Improving communication**

- Building greater awareness and understanding of the CMP initiative, both within and outside the Commission, will be important to encourage engagement from prospective CMP proponents (i.e. range states of priority populations), non-government organisations, companies, private funders, and other stakeholders.
- A lack of understanding of how CMPs operate and the benefits they can provide may make range states reluctant to develop or join CMPs, and may impact on the willingness of stakeholders to dedicate time and resources to implement CMP actions.

## CMP ACTION PLAN – 2018-2020

- The table below identifies measurable actions to progress the priority work areas during the remaining two years of this work plan.

Topic	Action	Sub-task	Timeframe	Responsible parties
<b>1. Strengthened support for range states</b>	1.1. As required, work with range states of current CMPs to help them develop a strategy for securing funding for CMP actions and improving buy-in from stakeholders responsible for progressing actions.	1.1.1. Highlight the services the Commission can provide to help participating range states overcome impediments to effective CMP implementation (e.g. help identifying and approaching external donors, outreach to key stakeholders etc.) in the CMP newsletter and on the CMP website.  Invite range states to approach the SWG-CMP to develop a strategy for overcoming barriers to effective implementation.	Dec 2018	SWG-CMP, Secretariat
		1.1.2. If approached by range states, work together to develop a strategy for overcoming barriers to effective implementation.	Ongoing	SWG-CMP, Secretariat, ICG-SF, Coordinators, Range States
	1.2. Facilitate greater in-person support for participating range states during the development and implementation process	1.2.1. Compile a list of skills and experience of CMP actors to support capacity building/mentoring.	Feb 2019	SWG-CMP
<b>2. Priority species for CMP development</b>	2.1. Ensure the Commission's list of priority species for CMP development is up-to-date	2.1.1. Develop a formal process and timeframes for reviewing and updating the list of priority species for CMP development.	Mar 2019	SWG-CMP, SC-CMP
	2.2. Conduct outreach activities to prospective CMP proponents	2.1.2. Write to relevant range states within two months of a species being added to the priority list, explaining the CMP process and encouraging them to develop a CMP.  Explore opportunities to improve outreach.	Ongoing	SWG-CMP, Secretariat
<b>3. Regional Inventories</b>	3.1. Evaluate the regional inventory initiative	3.1.1. Review the usefulness of the Pacific inventory.	Sep 2019	SWG-CMP, Secretariat
		3.1.2. Submit recommendations to the Conservation Committee on whether the initiative should continue. If appropriate, this should include proposal(s) for commencing the development of new regional inventories.	Sep 2020	SWG-CMP

<b>4. Better promotion of the CMP program and its achievements</b>	<b>4.1.</b> Develop and improve communication materials for CMPs	<b>4.1.1.</b> Develop a six monthly newsletter promoting the achievements and upcoming priorities of the CMP initiative.	Dec 2018 (first issue)	SWG-CMP, Secretariat
		<b>4.1.2</b> Update CMP website to include achievements to date, case studies, pictures, events etc.	Dec 2018 (first update)	SWG-CMP, Secretariat

## **CMP Development and Implementation Guidelines**

## Introduction

To contribute to the International Whaling Commission's work to support the recovery and conservation of cetaceans, the development of CMPs needs to be both rigorous and timely. CMPs need to target the most appropriate actions to address problems, and their development and adoption should be undertaken as quickly as possible. This is particularly important for populations or threats that require urgent action.

CMPs are management tools. They require clear, achievable goals and objectives; practical, prioritised mitigation actions; regular monitoring and reporting; and clear governance structures to coordinate the engagement of key stakeholders.

Conservation management planning requires a balance between information and action: all plans should be informed by rigorous science, while at the same time adhering to the principles of the precautionary approach.<sup>2</sup> Plans should be developed and implemented by more than one range state along with relevant stakeholders.

CMP implementation must adapt to new findings, changes in species' status, and completion of planned actions. They are living documents.

## CMP development and implementation process

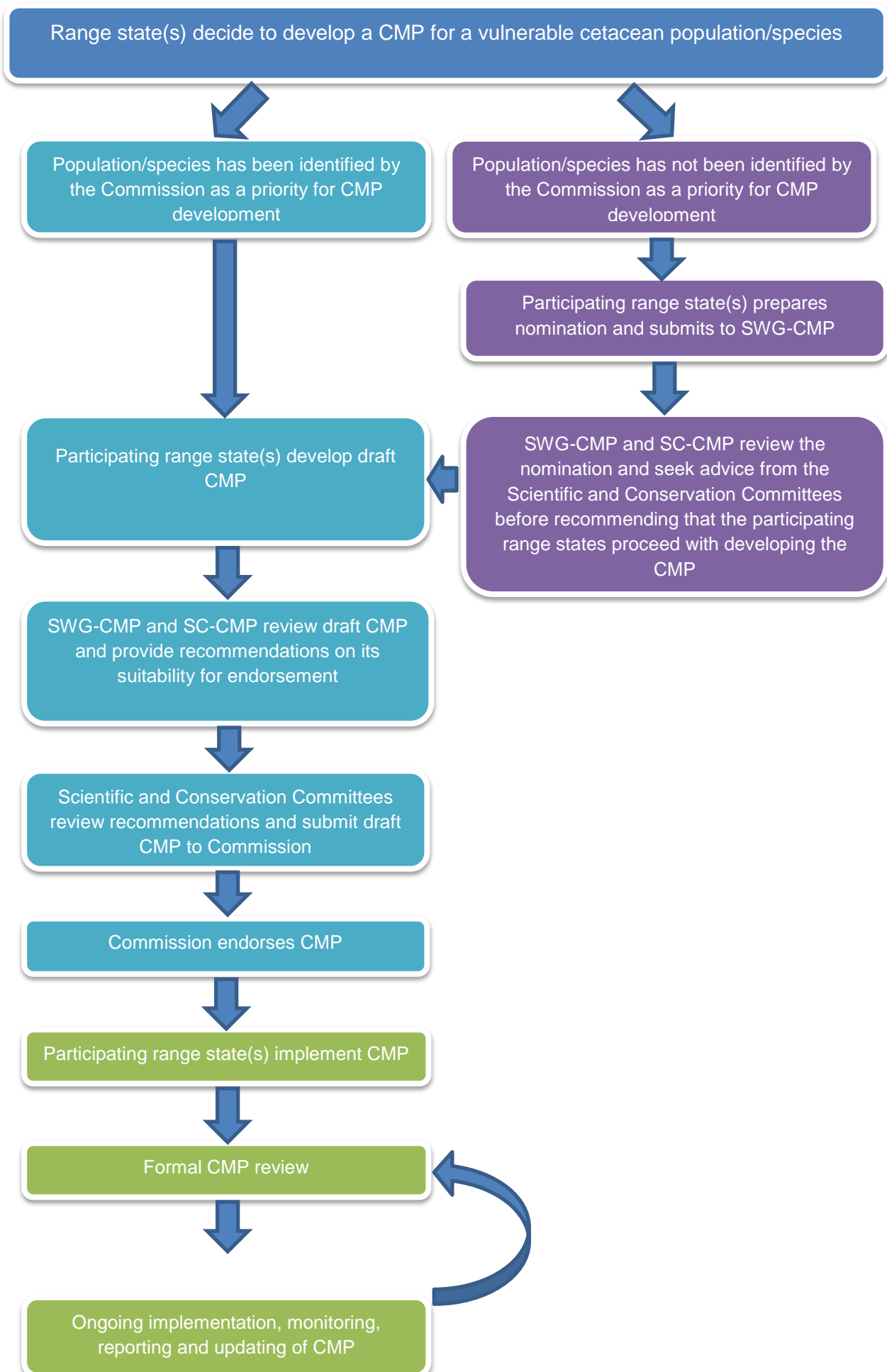
The process for each CMP involves a number of interrelated stages: nomination, development, endorsed by the Commission, implementation, monitoring and review. These are illustrated in Figure 2.

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<sup>2</sup> The Precautionary Approach should be used when considering management actions in the CMP. Insufficient information relating to a particular characteristic of the CMP should not preclude the development of a CMP. Obtaining scientific data or developing effective mitigation measures can form key actions as part of an initial plan. CMPs are living documents and can be updated as more information is obtained.



**Figure 2. Steps in CMP process**



## 1. Nomination

The nomination process ensures that investment of time, energy and resources by the Commission is warranted. The underlying science must demonstrate that urgent conservation action is needed for a specific population, and that positive conservation gains are likely to be achieved through the implementation of a CMP.

**A nomination is not required if a population/species has already been identified by the Scientific Committee and Conservation Committee as being a high priority for a CMP.<sup>3</sup>**

After consulting with the Conservation Committee's Standing Working Group on CMPs (SWG-CMP), CMP proponents may commence development of the CMP at any time.

A nomination is required if a population/species has not been identified by the Scientific Committee and Conservation Committee as being a high priority for a CMP.

### Who can make a nomination?

Nominations can be made by Commission member states (or groups of states) or by the Commission itself, through its Scientific or Conservation Committees.

### Key issues covered in the nomination

The following issues should be considered in the nomination:

- A summary of the **underlying science** supporting the need for the plan to address threats to a population/populations and/or to a critical habitat.
- Overall **objectives** and anticipated short, medium and long term **outcomes** for anticipated recovery or conservation benefits, and their relationship to the aims and objectives of the Commission.
- Potential **mitigation measures**, including any critically urgent measures that may need to be pursued in parallel to development of a full plan.
- Agreed and anticipated **partners** (both within and outside the Commission) in the development and implementation of the planned CMP.
- Anticipated **timeframes** for the development of the plan.

If the nominating state(s) intends to seek **resources** from or through the Commission for the development of the CMP, the nomination should include both a **budget** and an outline of the proposed **governance arrangements**.

### CMP nomination process

The SWG-CMP plays an important coordinating and supporting role during the nomination process. Commission member states planning to nominate should discuss their proposal with the SWG-CMP. This will allow early testing of ideas and issues and for informal engagement with other committees, sub-committees and working groups.

Completed nominations are submitted to the SWG-CMP. The nomination is then put to the Scientific and Conservation Committees for review and advice on whether the CMP should be developed.

The Scientific Committee will examine the feasibility of the CMP by considering all technical matters pertaining to the nomination. This advice is passed to the Conservation Committee to inform its consideration of the nomination with respect to management and conservation policy matters.

The Conservation Committee will recommend, via the SWG-CMP, that development of the CMP proceed.

Key issues considered by the Committees are set out in [Table 1](#).

**Table 1. Key issues for consideration in the review of CMP nominations**

	Scientific Committee	Conservation Committee
1	<ul style="list-style-type: none"> <li>Is the proposed CMP the most efficient management tool for addressing the conservation needs of the nominated population(s)?</li> </ul>	
2	<ul style="list-style-type: none"> <li>Are the short, medium and long-term goals clearly defined?</li> <li>Have the objectives, to the extent feasible, been quantified?</li> <li>Have the objectives been prioritised?</li> </ul>	
3	<ul style="list-style-type: none"> <li>Is the underpinning scientific rationale supporting the nomination reasonable?</li> <li>Have threats been evaluated on the basis of a scientific assessment? If not, what is the evidence?</li> </ul>	<ul style="list-style-type: none"> <li>Are the identified goals and actions consistent with Commission policies, programs and initiatives; and with any other relevant multi-lateral environmental agreements, or regional natural resource management arrangements?</li> </ul>
4	<ul style="list-style-type: none"> <li>Is scientific uncertainty appropriately reflected and taken into account in the goals, action and anticipated outcomes?</li> </ul>	<ul style="list-style-type: none"> <li>Are research, data collection and capacity building activities clearly linked to subsequent on-ground actions and measurable conservation outcomes?</li> </ul>
5	<ul style="list-style-type: none"> <li>Is the relationship between the threats and the impacts on the nominated population or habitat established? If yes, has it been quantified?</li> <li>Do the identified actions directly address the threats or its symptoms?</li> </ul>	<ul style="list-style-type: none"> <li>Will proposed governance arrangements support effective delivery, coordination and reporting of actions?</li> </ul>
6	<ul style="list-style-type: none"> <li>Is the CMP, if successfully implemented, likely to provide positive conservation outcomes for the nominated population or habitat?</li> <li>Could the likelihood of success of alternative management actions be evaluated by simulation?</li> </ul>	<ul style="list-style-type: none"> <li>Does the nomination include the required partners for effective conservation actions?</li> </ul>

#### **Nomination template**

A template to assist parties in the preparation of CMP nominations is available at <https://iwc.int/conservation-management-plans-guiding-documents>

## **2. Development**

Once the SWG-CMP has recommended that a CMP be developed, the proponents of the CMP should commence developing it at the earliest opportunity.

The SWG-CMP can provide advice and support during the development of the CMP including by facilitating the provision of data and expert advice from relevant Commission bodies, providing contacts and facilitating mentoring from those who have first-hand experience developing and implementing a CMP, and arranging assistance from the Secretariat to properly cost the actions outlined in the CMP.

CMP-specific working groups can also be established within the Conservation Committee and Scientific Committee to support range states during the development of their plan.

While the focus of a CMP will vary depending on its key objectives (for example, recovery of a critical population, mitigation of key threats to one or more populations, or recovery of critical habitats), there are components that all plans should address (see [Table 2](#) below).

Cooperation between participating jurisdictions is of paramount importance to the success of the CMP in achieving its objectives. While enforcement measures are a matter for participating jurisdictions, participating range states may wish to outline in their plans any enforcement measures they propose to adopt in the effective implementation of the plan.

### **Goals and objectives**

The material used to address each core component will vary depending on the issue. However, as CMPs are management tools, appropriate attention must be given to the clear articulation of goals (short, medium and/or long-term) against which progress milestones can be effectively measured and reported. Action in the CMP need to be clearly aligned with goals and objectives, and a monitoring program should be incorporated as an integral part of the CMP.

### **Actions**

These form the key component of any CMP and can fall into the following categories:

- Coordination
- Public awareness and capacity building
- Research essential for providing adequate management advice or filling knowledge gaps
- Monitoring
- Mitigation measures.

It is important that actions are realistic and effective. They should be specific and include the following information, where relevant:

- Description (concise objective, clear link to the threat it is trying to address, rationale, target data or activity, method, and implementation timeline)
- Actors (those responsible for implementation and other relevant stakeholders)
- Evaluation (process and actors responsible)

- Priority (importance to the plan and feasibility)
- Costs (where appropriate)

## Governance

In the event that a coordinator (and supporting steering committee) has not yet been appointed, appointing a coordinator should be considered as a high priority.

## Stakeholder engagement

Serious consideration should be given early in the development process to the involvement of stakeholders, including the timing and nature of engagement opportunities. These may include other Commission range states, non-member range states, non-government organisations, scientists, industries, communities and civil society more generally.

The ultimate success of a CMP will depend on its effective adoption and implementation by stakeholders. Early and continued engagement is beneficial.

**Table 2. Components to include in a CMP**

Topic	Information sets/components
Population(s)	<ul style="list-style-type: none"> <li>• Biology, status and environmental parameters of target cetacean populations</li> <li>• Critical habitats and corresponding parameters</li> <li>• Abundance and trend data (including modelling framework)</li> <li>• 'Attributes' of the population(s) to be monitored</li> </ul>
Threats and mitigation measures	<ul style="list-style-type: none"> <li>• Known and potential threats (direct and indirect)</li> <li>• Threat prioritisation</li> <li>• Mitigation measures</li> <li>• Evaluation and prioritisation of mitigation measures</li> </ul>
Goals, objectives and actions	<ul style="list-style-type: none"> <li>• Short, medium and long term objectives</li> <li>• Agreed actions to address threats including monitoring of compliance with those actions</li> <li>• Agreed actions to monitor the population or habitat attributes</li> <li>• Alignment of actions to the CMP's objectives</li> </ul>
Regulatory framework	<ul style="list-style-type: none"> <li>• Legislative and management arrangements in range states</li> <li>• Compliance and enforcement measures in range states</li> <li>• International conventions and/or agreements relevant to the CMP objectives</li> <li>• Commission objectives, requirements and processes</li> </ul>
Stakeholder engagement	<ul style="list-style-type: none"> <li>• Key stakeholders</li> <li>• Engagement processes</li> <li>• Educational activities</li> <li>• Capacity building</li> <li>• Public awareness raising</li> </ul>
Governance	<ul style="list-style-type: none"> <li>• Coordinator and steering committee</li> <li>• Outline of roles and responsibilities</li> <li>• Monitoring arrangements and requirements (threats and actions)</li> <li>• Reporting requirements</li> <li>• Review timelines</li> <li>• Revision/adjustment process</li> </ul>

### 3. Submission and review

Once completed, the draft CMP should be submitted to the SWG-CMP which will request a formal review of the plan from the Scientific Committee's CMP Sub-committee.

The draft CMP and the advice and recommendations of the SWG-CMP and the Scientific Committee's CMP Sub-committee will then be put to the Conservation Committee and Scientific Committee for review. Key issues considered during this step are set out in [Table 3](#).

Once reviewed, the draft CMP and the Committees' recommendations will be put to the Commission for consideration and endorsement.

**Table 3. Key issues for consideration in the review of a draft CMP**

	Scientific Committee's CMP Sub-committee	SWG-CMP
1	<ul style="list-style-type: none"><li>• Are the short, medium and long-term goals clearly defined?</li><li>• Will the proposed actions measurably deliver on the stated goals and objectives?</li><li>• Are the proposed actions the most appropriate response measure?</li><li>• Have proposed actions been appropriately prioritised?</li><li>• Have any key actions been omitted?</li><li>• Have the budget implications for proposed actions and mitigation measures been considered?</li><li>• Are the proposed actions achievable within the lifespan of the plan?</li></ul>	
2	<ul style="list-style-type: none"><li>• Is the underpinning scientific rationale supporting the plan reasonable?</li><li>• Does it provide the necessary scientific justification for implementation of the plan?</li></ul>	<ul style="list-style-type: none"><li>• Where actions relate to activities addressed by other multilateral environmental agreements and regional arrangements, will the actions further advance progress beyond these existing arrangements?</li></ul>
3	<ul style="list-style-type: none"><li>• Is the relationship between the threats and the impacts on the population of habitat established?</li><li>• Have those relationships been quantified and if so, have they been shown to be statistically significant?</li></ul>	<ul style="list-style-type: none"><li>• Are research, data collection and capacity building activities clearly linked to subsequent on-ground actions and measureable conservation outcomes?</li></ul>
4	<ul style="list-style-type: none"><li>• Do the identified actions address the threats or its symptoms?</li><li>• Has the impact of alternative actions been evaluated by simulation?</li></ul>	<ul style="list-style-type: none"><li>• Will proposed governance arrangements support effective delivery, coordination and reporting of actions?</li></ul>
5	<ul style="list-style-type: none"><li>• Has the effectiveness of the scientific monitoring program for the plan been considered?</li><li>• Will the proposed scientific monitoring program be used to assess the effectiveness of the plan?</li></ul>	<ul style="list-style-type: none"><li>• How effectively does the scientific data underpin management decisions?</li></ul>
6	<ul style="list-style-type: none"><li>• Is scientific uncertainty appropriately reflected and taken into account in the goal, actions and anticipated outcomes?</li></ul>	<ul style="list-style-type: none"><li>• Is the CMP consistent with the principles of adaptive management?</li><li>• How often will CMP performance reviews take place?</li></ul>

#### CMP development template

A template to assist parties in the preparation of draft plans is available at <https://iwc.int/conservation-management-plans-guiding-documents>

#### **4. CMP implementation, monitoring, reporting and review**

Regular monitoring, reporting, review and revision of CMPs is critical to ensure they continue to effectively support conservation efforts for the relevant population/species.

Regular progress reporting to the SWG-CMP also assists the Commission in its promotion of the CMP initiative. Promotion of the benefits of each CMP may help to increase engagement and buy-in from relevant stakeholders, and may assist participating range states to leverage funding to progress CMP actions.

##### **Implementation**

The implementation of endorsed CMPs is at the discretion of participating range states and relevant stakeholders, and is usually supported by a CMP coordinator, Steering Committee and implementation strategy.

An implementation strategy can be helpful where a high degree of coordination is required in the delivery of agreed actions, or where actions have significant associated costs and where resources may be sought from parties outside participating range states.

##### **Monitoring and reporting**

The establishment of appropriate monitoring and compliance regimes will play an important role in securing endorsement by the Commission.

##### **Review – adaptive management**

Adaptive management requires periodic review and adjustment of the CMP and its recommended actions based on both improvements in scientific understanding and management practices, and from changes conditions arising from the implementation of actions and the attainment of objectives over time.

Scheduling reviews of the success of the CMP will play an important role in securing endorsement by the Commission.

## **CMP Funding Guidelines**



## **Funding for CMPs**

It is the responsibility of participating range states and other participating stakeholders to fund CMP development and implementation. When financial shortfalls occur, the Commission may be able to provide support by:

- Assisting participating range states to identify and apply to external funding opportunities
- If adequate external funding cannot be secured, the Commission may consider providing limited financial support, subject to availability of funds.

### ***External funding opportunities***

The Commission's Secretariat maintains a list of external funding opportunities that can potentially be accessed to support the Commission's work, including the development and implementation of CMPs. These sources include global institutions, regional bodies, national governments, charities and trusts.

To apply to one of these sources through the Commission, participating range states should first complete the template at <https://iwc.int/voluntary-fund-for-conservation>, and submit to the SWG-CMP for discussion. The SWG-CMP will work with the Secretariat to try to match the funding proposal with a suitable external funding opportunity. If a suitable external funding opportunity is identified, the SWG-CMP and the Secretariat will support participating range states to apply to that source.

### ***Limited financial support***

The Commission has two finite streams of funding that can potentially be accessed to support the development and implementation of CMPs. These streams should generally only be considered when funding cannot be secured from external sources i.e. where range states do not have the capacity to fund the project themselves, a suitable external funding source has not been identified from the process described above, or range states have been unsuccessful in their applications to external funding sources.

### **Voluntary Conservation Fund (VCF)**

The VCF receives donations from contracting governments and external stakeholders to progress the Commission's conservation priorities, including the development and implementation of CMPs.

Applications for financial support from the VCF should be submitted to the fund's Steering Group, using the template at <https://iwc.int/voluntary-fund-for-conservation>.

If financial support is sought for CMP implementation activities, the application should include an implementation strategy, outlining the CMP's priority actions, governance arrangements, and timelines.

All applications should outline the financial support provided by participating range states and other participating stakeholders (including in-kind support), what efforts have been made to secure external funding, where financial short-falls exist, and why it is important to address those shortfalls.

The Steering Group will review applications against the fund's eligibility and evaluation criteria (<https://iwc.int/voluntary-fund-for-conservation>), before sending applications to the Chair of the SWG-CMP. The Chair of the SWG-CMP will consider the application in line with the 'Principles for the use of VCF funds for CMPs' and consult with members of the SWG-CMP, before deciding whether to approve the application. The Chair of the SWG-CMP will convey the decision to the VCF Steering Group and the Secretariat, who will manage the disbursement of funds and contract arrangements.

All recipients of funds will be required to report to the SWG-CMP on use of the funds.

#### *Principles for the use of VCF funds for CMPs*

1. Eligibility for financial support from the VCF is limited to CMPs generated within the Commission (i.e. by its member states or committees).
2. Eligibility for financial support is informed by capacity to pay, with priority generally given to CMP processes where participating range states include a majority of Group 1 or 2 member states.<sup>4</sup>
3. Funding requests will be considered in the context of all current and anticipated CMP priorities.
4. Financial support is primarily for coordination and governance activities. Support for other activities will be considered on a case by case basis.
5. For the nomination and plan development phases, funding to employ a coordinator may only be sought for a maximum of two years.
6. For the implementation phase, funding to employ a coordinator may only be sought for a maximum of two years at a time. If additional funding is requested after this two year period:
  - a. A new application must be submitted
  - b. The Chair of the SWG-CMP will consider the report from the coordinator on the use of the previous funds, before deciding whether to approve the additional funding request.
7. Funding to employ a coordinator will be limited to a maximum of four years total across all phases of the CMP development and implementation process.
8. Before funding to employ a coordinator is approved, the Secretariat must first confirm the expenditure is consistent with relevant employment law.
9. At the discretion of the Chair of the SWG-CMP, funds may be provided in one lump sum, or split over multiple payment periods. Eligibility to receive each part of a split payment may be linked to adequate reporting against milestones set in the contract.

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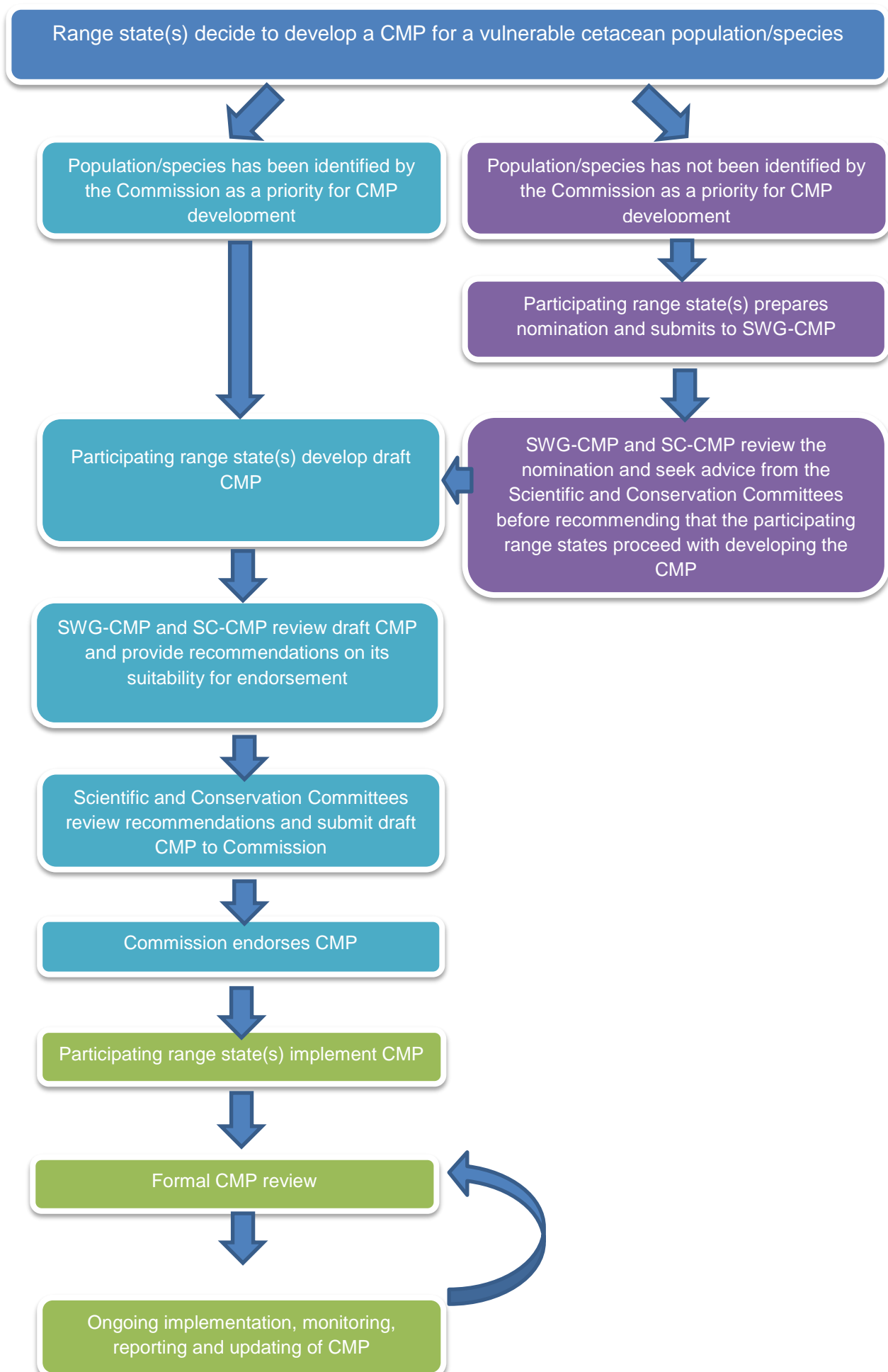
<sup>4</sup> Capacity to pay is determined by a country's Gross National Income (GNI) and Gross National Income Per Capita (GNIPC), as estimated by the World Bank. In 2016, Group 1 member states had a GNI less than US\$14.057 billion and GNIPC less than US\$14,057. Group 2 member states had a GNI greater than US\$14.057 billion and GNIPC less than US\$14,057; or were 'very small countries' with a population less than 100,000 and a GNI less than US\$7.209 billion and GNIPC greater than US\$14,057. Capacity to pay group listings are provided by the Commission's Finance and Administration Committee in their annual report.

*Scientific Committee Research Fund*

Each biennium, the Commission approves a research budget for the Scientific Committee for activities that the Scientific Committee believes are essential to its work in providing the best scientific advice to the Commission.

Participating range states wishing to apply for funding from the Scientific Committee Research Fund should discuss their proposal with the SC-CMP.

## Attachment B – Revised CMP process



## **Attachment C – Other key revisions actions in CMP Work Plan**

### Threat-based CMPs

Feedback received during the mid-term review suggested that much of the immediate need for threat-based CMPs has been superseded by other Commission initiatives. For example, the need for a bycatch CMP has been superseded to a certain extent by the Bycatch Mitigation Initiative. The SWG-CMP will wait to see how these initiatives play out before progressing the threat-based CMP concept any further.

### Regional inventories

The original version of the CMP Work Plan included actions around the development of new regional inventories of cetacean conservation measures currently in place or under development.

The first regional inventory, for the Pacific Islands region, was endorsed by the Commission in 2012. That inventory has not been updated, nor has its usefulness been evaluated.

Before considering the development of new inventories, the SWG-CMP will evaluate the Pacific Inventory to determine whether the initiative has been useful and should continue. The SGW-CMP will report to the Conservation Committee at IWC68 on a recommended way forward for the initiative.

### Better promotion of the CMP initiative

Better promotion of the CMP initiative was a major theme in survey responses, and the work plan now includes actions to address this, including the development of a regular CMP newsletter and better use of the Commission's website and media tools to raise the profile of the CMP initiative.

Better communication is important to encourage range states to develop new CMP, and may help address engagement and funding barriers for current CMPs. If stakeholders outside the SWG-CMP and Commission do not know what CMPs are, why they are important, and the benefits they can deliver, then they may be less likely to invest their time and resources in the process.

### Strengthened support for range states

CMP implementation has been challenging for some range states. Despite making substantial progress early on, some range states have reported their efforts stalling before full implementation is achieved, primarily due to lack of funding and/or lack of buy-in from stakeholders responsible for progressing actions.

There is a role for the SWG-CMP in better assisting range states in overcoming implementation barriers. The revised work plan highlights the services the SWG-CMP, Secretariat, and other Commission bodies can provide, such as helping range states to properly cost actions in their CMPs, helping to identify and pursue potential funding sources, writing letters of support to stakeholders to emphasise the importance of engaging in CMP actions, and other outreach.

The SWG-CMP will also compile a list of skills and experience of CMP actors so that it can facilitate capacity building and mentoring where appropriate. Talking to people who have been through a similar process, or who have faced similar challenges, could provide valuable insights and assistance to range states that could not otherwise be transmitted in guidelines or templates.

### CMP funding guidelines and principles

Revised CMP funding guidelines and principles are included at Attachment B of the work plan. The revised funding guidelines and principles emphasise the need for range states to identify suitable funding sources for the long-term implementation of their CMPs, and highlights the important work that has been undertaken by the Secretariat, the Intersessional Correspondence Group on Strengthening IWC Financing, and the Voluntary Conservation Fund Steering Group to improve the way voluntary funds are managed by the Commission.

## Attachment D – Status of voluntary CMP funds

CMP	Endorsed	Range States	Coordinator(s)	Activity	Date approved	Amount (GBP)
Western North Pacific Gray Whale	2010	Russia, Korea, Japan, China, IUCN collaboration	Hidehiro Kato (Japan)			
Southwest Atlantic Southern Right Whale	2012	Argentina, Brazil, Uruguay	Miguel Iñiguez (Argentina) from 2012-2016	Employment of coordinator (Argentina) for 18 months	May 2013	36,000
			Fábia Luna and Juliana Couto Di Tullio (Brazil) from 2016 – present	Employment of coordinator (Brazil) for 12 months	Not yet considered	19,200
Eastern South Pacific Southern Right Whale	2012	Chile, Peru	Barbara Galleti (Chile)	Employment of coordinator (Chile) for 24 months	Dec 2016	32,000
				Support for 3 coordination meetings (flights, accommodation and per diem)	Dec 2016	28,000
				Stranding and entanglement response training	Sep 2018	10,000
				Employment of coordinator (Chile) for further 12 months	Under consideration	2,500 (+13,500 unspent from above coordination meeting support)
Franciscana dolphin	2016	Argentina, Brazil, Uruguay	Miguel Iñiguez (Argentina)	Employment of coordinator (Argentina) for 24 months.	Dec 2016	38,400
Arabian Sea humpback	-	-	-	Support workshop(s) to progress development of CMP	Anticipated	20,000
				Employment of coordinator for 12 months to support development and/or implementation of CMP	Anticipated	16,000

Orange = Anticipated/not yet approved

Last updated: 29 April 2019