

## Implementing IWC Recommendations on Strengthening IWC Financing

*Submitted by the Chair of the Intersessional Correspondence Group on Strengthening IWC Financing*

### Summary of Recommendations

- The Intersessional Correspondence Group on Strengthening Finance recommends the adoption of the proposed Work Plan (Annex 1).

### Background

The Intersessional Correspondence Group on Strengthening IWC Financing (ICGSF) was established at IWC62 in 2010. The Group aims to find ways to support the rebuilding and maintenance of healthy whale populations. In 2014, it made a series of recommendations to help create the right environment to encourage external funders to contribute to the work of the Commission and, in the long term, to identify what needs to be done to improve the reliability of financing to support increasing and sustained programmes of work. The recommendations were endorsed at IWC65.

The current group members comprise Australia, Belgium, Costa Rica, Ecuador, France, Germany, Mexico, Monaco, United Kingdom, United States of America. The interim Chair is Stephanie Langerock (Belgium).

The current Terms of Reference are included in Annex 2.

### Current activities and next steps

The IWC has made significant progress in the implementation of the recommendations of the ICGSF. This has included the establishment of a Voluntary Conservation Fund, the adoption of an Acceptance of Funds policy, updating the website and collaboration with other organisations.

The main activities undertaken to implement the recommendations made at IWC65 in 2014 are summarised below and the proposed next steps are outlined. A proposed work plan is attached in Annex A.

#### 1. Acceptance of Funds

At IWC65, the Commission adopted its Acceptance of Funds Policy.

**Next steps:** The ICGSF will consider the need for a Code of Ethical Fundraising and report to IWC67 on this issue.

#### 2. Website updates

At IWC65, the Commission recommended: The Secretariat should develop the financial pages on the IWC website dedicated to informing the public and prospective donors about the IWC's financial processes and funding arrangements.

Since IWC65, the Secretariat has developed the financial pages on the IWC website with information on the funding arrangements of the IWC, IWC funding opportunities available, and information on the work of the IWC and its Committees. For further information, see <https://iwc.int/iwcfinancing>

**Next steps:** The Secretariat will maintain the financial pages on the IWC website to ensure they remain current and relevant.

#### 3. Voluntary Conservation Fund

At IWC65, the Commission recommended: The IWC should establish a Voluntary Conservation Fund and amend the Financial Regulations.

The Voluntary Conservation Fund was established in 2014. Since that time, two contributions have been received, totalling GBP75,002 (Table 1).

**Table 1. Contributions to the Voluntary Conservation Fund 2015-2106.**

Donor	Amount GBP	Date Received	Funding Use
Australia	65,002	18/09/2015	A 'Building sustainable whale and dolphin watching tourism in the Indian Ocean region' workshop was held in Colombo, Sri Lanka from 24-26 February 2016. The Workshop contributed to the delivery of Objective 3 (capacity building) of the IWC's Five Year Strategic Plan for Whale Watching 2011-2016 to 'identify methods to facilitate cooperation and information/expertise sharing between Contracting Parties and others to support the development of a responsible whale watching sector and the provision of benefits to local communities'.
UK	10,000	15/03/2016	Voluntary contribution to help improve the conservation of cetaceans internationally through the funding of specific projects prioritized by the IWC's Conservation Committee.

**Next steps:** The Secretariat will continue the administration of the Fund and, working with the Steering Group for the Fund, explore ways to publicise the Fund and encourage contributions.

#### **4. Terms of Reference for Voluntary Conservation Fund**

At IWC65, the Commission recommended: The IWC should adopt the Terms of Reference proposed for a Conservation Fund Project Steering Group.

During IWC65, the IWC adopted the Terms of Reference for the Conservation Fund Steering Group and the Voluntary Conservation Fund can receive funds that are earmarked for specific projects or that are put into a general fund to support projects in priority categories<sup>1</sup>.

**Next Steps:** While the Commission has agreed eligibility criteria for the allocation for funds, the Steering Group for the Fund will need to establish a process to allocate the fund, potentially building on the experience from the management of the Small Cetaceans Fund. The Steering Group will review the eligibility criteria to ensure they are consistent with the Conservation Committee Strategic Plan.

#### **5. Funding opportunities**

At IWC65, the Commission recommended: The IWC Secretariat should work with relevant Committees and subgroups to improve the information about their work that is made available on the IWC website, including funding opportunities.

Since IWC65, the Secretariat has developed the relevant pages on the IWC website with information on the work programmes of the IWC.

**Next Steps:** The Secretariat will further develop the IWC's website to highlight funding opportunities of potential relevance to the IWC's work programmes. This will include a dedicated section on external funding opportunities that may be relevant.

#### **6. Engagement with other organisations**

At IWC65, the Commission recommended: Working with the ICGSF and relevant IWC chairs, the IWC Secretariat should identify and establish, or re-establish, relationships with key organisations to determine what scope there is for potential further partnerships or funding sources.

The IWC has continued the development of strategic partnerships with international bodies. This has led to direct implementation of conservation recommendations (e.g. collaboration with the International Maritime Organisation) and delivery of recommendations in partnership with others (e.g. working with the Indian

<sup>1</sup> conservation management plans; whale watching; bycatch & entanglement; ship strikes; stranded cetaceans, including euthanasia; pollution; emerging issues and new threats to whale populations.

Ocean Rim Association on whale watching). Engagement with other organisations also offers potential for more efficient use of existing funds and opportunities to develop funding proposals in partnership with other organisations that have an interest in the conservation and management of cetaceans.

Further information on engagement with other organisations is provided in document IWC/66/04.

**Next Steps:** The Secretariat will continue to engage with other organisations as outlined above, and new opportunities will be identified. Where appropriate, joint fund raising or partnership work to implement the Commission's recommendations will be taken forward. Outreach to potential funders will also be undertaken as appropriate.

At IWC65, in its WG report, the ICGSF suggested it was not appropriate at that time to reach out to private Trust Funds, or to partner with private companies, in order to draw in funding. However, it suggested that the IWC may wish to revisit this option when reviewing success of this initial medium term phase of work. After an initial review of funding opportunities, it has become apparent that Trust Funds/Foundations may provide funding opportunities that are relevant to the work programmes of the IWC. During the intersessional period until IWC67, the Secretariat will review the opportunities to engage with Trust Funds/Foundations and their relevance to the IWC work programme, and undertake outreach where appropriate. If an opportunity to seek funding from a Trust Fund/Foundations arises, the ICGSF will be consulted on whether a funding proposal should be submitted and it will be taken forward as appropriate.

### **7. Budgeted work plans**

At IWC65, the Commission recommended: IWC Committees and subgroups wishing to resource projects should establish clearly budgeted work programmes and in parallel, identify potential funding or project partners. At that time, the ICGSF noted that, to be able to properly target the right organisations, it is first necessary to identify what current and future funding gaps will exist in the IWC.

The Scientific Committee already undertakes a similar process to budget its work plan and there is increasing recognition in the Commission of the need to consider costs associated with recommendations, for example, at the IWC Workshop to support the consideration of non-hunting threats to cetacean welfare (3-4 May 2016) and the Workshop developing practical guidance for the handling of cetacean stranding events (5-6 May 2016) participants recommended that the Secretariat provide clear cost estimates for work necessary to facilitate the delivery of the IWC Welfare Action Plan and for taking forward the recommendations from each workshop.

In January 2016, the Chair of the ICGSF wrote to the Chairs of the Conservation Committee Working Groups regarding the preparation of budgeted work programmes for thematic work areas under the Conservation Committee. This would enable the IWC to build a portfolio of possible conservation projects to be used when approaching relevant institutions to assess the potential for collaborative work, and/or encourage donations so the IWC can secure the voluntary financing needed to progress the project independently. In August 2016, the Chair of the ICGSF wrote again to the Chairs of the Conservation Committee Working Groups reminding of this recommendation. Several costed project proposals are expected during IWC66, for example a budget to develop the Whale Watching Handbook. During IWC66 the Conservation Committee will discuss an outward facing strategic plan and its work plan, which may also lead to the development of a budgeted work plan.

There are a wide range of potential funding streams that could be accessed by the IWC to support work programmes which implement IWC recommendations. The Secretariat has begun to review the global, regional and national funding opportunities that could potentially be utilised by the Commission. This includes funding from national Governments, an example of which is provided by the Global Entanglement Response Network, international funding bodies and grants from charitable trusts and foundations.

**Next Steps:** During the remainder of 2016 and 2017, the ICGSF will work with the IWC Secretariat and the Chairs of the Conservation Committee and its Standing Working groups to develop a list of projects that require external funding including budgeted work plans, based on the development of the Conservation Committee's strategic and work plan.

The Secretariat will continue its review of available funding streams that could potentially be accessed to support the implementation of the Commission's recommendations.

The Secretariat will develop project templates and outline standard costs, to support the development of project proposals.

In addition, the Secretariat, the ICGSF and the Chairs of the Conservation Committee and its Standing Working Groups will develop funding proposals and submit grant applications to support activities recommended by the Commission.

#### **8. ICGSF role**

At IWC65, the Commission recommended: The ICGSF should continue its role overseeing work to Strengthen IWC Financing, with a call for new members and specific expertise across the IWC family in fundraising. The ICGSF should review and report on progress to the F&A Committee, and consider further recommendations for longer-term IWC financing.

**Next Steps:** The ICGSF should agree its Chair for the next intersessional period. Stephanie Langerock (Belgium), current interim Chair, has offered to undertake this role. Membership of the working group remains open to new Contracting Governments and Observer organisations.

**Annex 1 Proposed work plan of the Intersessional Correspondence Group on Strengthening IWC Financing, 2016-2018.**

<b>Activity</b>	<b>Undertaken by</b>	<b>Resource implications<sup>2</sup></b>
Report to IWC67 on the need for a Code of Ethical Fundraising	ICGSF	Core
Maintain the financial pages on the IWC website to ensure they remain current and relevant.	IWC Secretariat	Core
Continue the administration of the Voluntary Conservation Fund and explore ways to publicise the Fund and encourage contributions.	ICGSF and IWC Secretariat	Core
Establish a process to allocate the Voluntary Conservation Fund, building on the experience from the Small Cetaceans Fund.	ICGSF and IWC Secretariat	Core
Review the eligibility criteria to ensure they are consistent with the Conservation Committee Strategic Plan.	ICGSF	Core
Further develop the IWC's website to highlight funding opportunities of potential relevance to the IWC's work programmes. This will include a dedicated section on external funding opportunities that may be relevant.	IWC Secretariat	Core
Continue to engage with other organisations and identify new opportunities. Where appropriate, joint fund raising or partnership work to implement the Commission's recommendations will be taken forward. Outreach to potential funders will also be undertaken as appropriate.	IWC Secretariat	Core
Ongoing review of opportunities to engage with Trust Funds/Foundations and their relevance to the IWC work programme, including outreach where appropriate.	IWC Secretariat	Core
Develop budgeted work plans including a list of projects that require external funding.	ICGSF, IWC Secretariat, Chairs of the Conservation Committee and its Standing Working groups	Core
Ongoing review of available funding streams that could potentially be accessed to support the implementation of the Commission's recommendations.	IWC Secretariat	Core
Develop project templates and outline standard costs, to support the development of project proposals.	IWC Secretariat	Core
Develop funding proposals and submit grant applications to support activities recommended by the Commission.	ICGSF, IWC Secretariat, Chairs of the Conservation Committee and its Standing Working groups	Core and additional Secretariat capacity may be required
Agree the Chair of the ICGSF for the next intersessional period. Stephanie Langerock (Belgium), current interim Chair, has offered to undertake this role.	ICGSF	-

<sup>2</sup> Core - will be undertaken as part of ongoing Secretariat work.

Core and additional Secretariat capacity may be required: Secretariat time is limited and any substantive activity may require, for example, input from the IWC standing working groups or the use of consultants. If and where possible costs incurred will be recovered from grant bodies.

**Annex 2 – Terms of Reference for the Intersessional Correspondence Group on Strengthening IWC  
Financing agreed at IWC65**

1. Oversee and review the implementation of medium term actions needed to strengthen IWC financing.
2. Advise and assist the Secretariat in identifying appropriate organisations for the purposes of helping to strengthen IWC financing, and in approaching and building relationships with these organisations.
3. Consider and if appropriate develop a Code of Ethical Fundraising.
4. Advise and assist the Secretariat in making applications for external funds to support relevant IWC projects.
5. Continue to examine ways to integrate conservation funding into the overall budget considering both core and voluntary funding.
6. Report to the Finance and Administration Committee on progress, making any recommendations for further work as needed towards long term IWC financing.